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ABSTRACT

This handbook was designed to assist local Teacher Corps projects to plan and implement the Teacher Corps' "Fourth Outcome:" the adoption or adaptation of the project's educational improvement activities by other educational agencies and institutions. Section I provides an overview of seven scenarios which might be applicable to local projects planning to adopt or adapt other projects. The descriptions were drawn from an analysis of Teacher Corps proposals, literature, and conversations with researchers and practitioners. In Section II, five of the scenarios are expanded into experience-based essays that can be used by staff in a variety of programs to clarify implementation and institutionalization goals. The five scenarios involve: (1) district-wide adaptation/adoption strategies; (2) using a "shadow school" approach in field testing; (3) utilizing existing linkage systems; (4) collaboration with the state education agencies; and (5) federal dissemination mechanisms for products and practices. Worksheets are included for developing a scenario that is site-specific to project staff. The four chapters in Section III provide guidelines to achieve the goals of the Fourth Outcome at local project sites. The techniques discussed are assessing the project, targeting audiences, using audience interaction in decision making, and evaluating Fourth Outcome results. A selected, annotated bibliography of documents pertaining to the adoption of Teacher Corps improvements comprises Section IV. A list of the contributors is appended. (FG)

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PROMOTING ADOPTION AND ADAPTATION

A HANDBOOK FOR TEACHER CORPS PROJECTS

1980

A PROJECT OF CENTER FOR NEW SCHOOLS
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Table of Contents

I. Scenarios For Achieving the Fourth Outcome

Preface.....

Overview.....Stephen Andrews

Five Reports from the Field

District-Wide Adaption: Reaching the Fourth Outcome.....Mae Christian, Ph.D.

Demonstration/Dissemination and Institutionalization.....Bessie Howard, Ph.D.

Utilizing Existing Linkage Systems..James Becker, Ph.D.

Collaborating with the SEA.....Lee T. Peterson, Ph.D.
Leo W. Anglin, Ph.D.

Federal Dissemination Mechanism.....James Eckenrod, Ph.D.

Tools for Reviewing the Scenarios in a Local Project.....Stephen Andrews

II. Promoting Adoption and Adaption:

Planning and Evaluation Guidelines For Teacher Corps Projects.....Dan Coffey, Ph.D.

Introduction.....

Project Status Relative to the Fourth Outcome.....

Audience Interaction to Achieve Fourth Outcome Results.....

Evaluation and Follow-up Forms.....

III. Selected, Annotated Bibliography.....Robert Slater, Ph.D.
Stephen Andrews

General Works

Promotion of the Fourth Outcome

Adoption/Adaption

Special Topics

IV. Contributors

PREFACE

This handbook was designed primarily to assist local project's plans and implement their Fourth Outcome objectives. It seeks to provide clarity on the meaning of the Fourth Outcome regulation and it provides direction for those who seek to identify the best possible auidence and gives ideas for interacting with those audiences.

Understanding that a good plan for implementing the adoption/ adaptation mandate needs both formative and summative evaluation strategies, this handbook provides information about how local projects can document its Fourth Outcome activities.

Three major components are included:

1. Scenarios for Achieving the Fourth Outcome
2. An annotated bibliography
3. Guidelines for Promoting Adoption and Adaptation

As you continue in your efforts to improve the education for children in low-income communities through your adoption/adaptation activities, we hope that this handbook will be useful.

Frances B. Holliday
Project Director

SCENARIOS FOR ACHIEVING THE FOURTH OUTCOME

INTRODUCTION

This monograph is one of the products of the Teacher Corps Demonstration Consortium, a two-year policy and assistance contract sponsored by the Office of Education Teacher Corps, and carried out by the Center for New Schools, with the assistance of a national group of consultants and advisors from within and outside of the Teacher Corps program. In particular, the consortium was charged with:

> Analysis of research and policy bases for program action to increase the utilization of products and processes developed through Teacher Corps funding by other educational groups and agencies who are not receiving such funding.
>
> Support to local Teacher Corps projects in their efforts to carry out their part of the program's efforts to promote utilization, through a series of workshops and materials.
>
> Implementation of a programmatic approach to utilization through the development of temporary, theme-based clusters of Teacher Corps projects who would combine their resources for the development of materials based on the work of a local project.
>
> As a result of all of the above, the development of sequenced recommendations for policy and practice in the Teacher Corps context which would support the overall goal of utilization.

It is of course not unusual for a federal demonstration program to be concerned about the utilization of ideas and methods developed under direct funding; if there are insufficient funds to provide direct support to an entire class of practitioners, this "multiplier effect" is the only feasible way to aim at broad impact in a field. However, Teacher Corps has taken a significant step beyond the ordinary demonstration program, by <u>requiring</u> that each local project develop

objectives and activities aimed at the following outcome:

> The adoption or adaptation of these educational improvements developed in the project by other educational agencies and institutions. (CFR 45:172.60.d)

The challenge of this outcome is that it places the requirement to promote utilization on an equal footing with all other primary commitments of the individual project, to be studied, planned for, acted upon, and evaluated with as much seriousness as the other requirements of the program. This is a new challenge for many project staffs, even those that have been engaged in Teacher Corps for several years. The consortium has had to develop a large body of analysis and training experience just to find a useful conceptual starting point, a set of ideas which project staffs can actually use to focus their planning efforts and to make decisions about priorities. After trying several conceptual arrangements, we believe that we have found one useful framework, in the "scenarios" that are the subject of this monograph. It provided the main structural basis for a training conference for project directors in December, 1979; the local project and contractor groups whose presentations are the main body of the document were recruited to make their presentations essentially by an conversational review of the scenarios to which the response was invariably, "Oh, I can talk about that one!" This was the first of many validations that the consortium received of the usefulness of these ideas.

The contents of this document are, for the most part, self-explanatory. The first section is an overview of seven scenarios which might be applicable to local projects planning to achieve adoption and/or adaptation of what has been developed by persons outside the projects.

Section II is a collection of five experience-based essays derived from the conference presentations. (Time and space limitations prevented the development of presentations on the other two scenarios; this should not be taken, in any way, as a judgment on the relevance of the "IHE expansion" or "marketing" ideas. It is important to note that the four project-based presentations are preliminary, only; each represents less than one year and a half of formal work towards the achievement of this outcome though, in all cases, there are roots of the strategies in previous local efforts. Section III is a series of operational questions aimed at helping project personnel make proper choices about the alternatives and their relative local feasibility. Finally, we have attached a brief bibliography to indicate other resources for working with the "adoption/adaptation" outcome in a local project context.

This document is developed from the Teacher Corps context, and is obviously most relevant to Teacher Corps personnel. However, some other audiences may benefit, as in the case of program staff in other funded programs considering a requirement similar to that instituted in Teacher Corps; staff of local projects under other sources of funding which has made a commitment to promote utilization whether or not there is a program requirement; and researchers concerned about the questions of transfer of methods from an originating setting to a secondary user setting. Both Teacher Corps and the Center for New Schools are <u>especially interested in receiving comments and critiques</u> on this material from all users.

We are particularly indebted to Drs. Leo W. Anglin, James Becker, Mae Christian, Bessie Howard, and Lee T. Peterson, who took time away

from their hectic schedules as project directors to analyze their own local exemplars of the scenarios; and to Dr. James Eckenrod at Far West Laboratory for educational research and development, for consolidating the core ideas of one phase of his work for our uses. Beryl Nelson and James Steffensen, of the Development Branch of the Teacher Corps Washington staff, provided their support. Finally, we need to express gratitude to Ayana Johnson, who provided an outsider's careful eye to editing the main textual materials, and to Sara Hennings and Wangosha Nicks for their deciphering and diligence.

SECTION I

SCENARIOS FOR ACHIEVING THE FOURTH OUTCOME: AN OVERVIEW

OVERVIEW

The descriptions which follow are drawn from an analysis of Teacher Corps proposals, literature, and conversations with researchers and practitioners both within and outside Teacher Corps. Each idea is one that has been affirmed as one of the basic models in planning to achieve the "adoption/adaptation" outcome by several Teacher Corps projects. Each represents a way of taking this outcome as a realistic, practical goal, within the five-year framework of Teacher Corps projects; each requires commitment, resources, and active involvement from a variety of participants in a project. None is complete or automatic; project personnel must rewrite and expand, combine and delete, in order to turn such statements into site-specific plans.

Above all, none of these scenarios are passive. They include steps for the active solicitation of external audiences, and the follow-up processes that make adoption or adaptation most likely. If a project plan includes only passive functions ("make materials available," "allow visitation"), its likelihood of leading to utilization is minimized.

Ultimately, this material is based on one central theme: the key to successful achievement of "adoption/adaptation" is to be selective—to make the key choices of audience, content, and strategy early (leaving room for revision as the process progresses) so that projects can have significant impact on specific outside audiences within a stipulated time-frame. These scenarios should be most useful as a framework for identifying the tasks which are most likely to have this

effect in a Teacher Corps or other funded project. (NOTE: Footnotes which have been added to the descriptions below are meant to explain Teacher Corps program elements to users of this handbook who may not be familiar with the Teacher Corps structure.)

THE SCENARIOS

1. Serving the "Shadow School"

This scenario involves the selection of a school (or feeder system) beyond the host feeder system[1] to serve as the site for a second comprehensive field test of the basic strategies of specific project. The target group for this kind of fourth outcome effort is small - no larger than the original host system. However, the opportunity for intensive work with such a group of schools allows the full range of strategies of your project to be shared, and a good choice of sites can lead to wide-ranging adoption and/or adaptation. This scenario can be most powerful when staff skills and process understandings are the most viable resources of the project. Its high cost per site can be offset by the likelihood that this further "demonstration" of project effectiveness will lead to additional spread using resources other than Teacher Corps.

2. Expansion of IHE Efforts

A variation of the first scenario is the development and follow-through on agreements between the IHE[2] and one or more

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[1] Teacher Corps projects are required to carry out direct developmental efforts in a feeder system K-12, within a single district, where possible.

[2] Every Teacher Corps project has as a co-grantee a school or department of education in an IHE; this statement refers to the IHE which is a part of the individual project.

additional sets of schools for delivery of IHE services like those developed in the project. As a counterpart to institutionalizing the relationship between the IHE and the host feeder system, this scenario again uses the basic change strategies of the project (insofar as they are housed in the IHE) as the basis for further cycles of action/evaluation/revision. Some of this expansion can take place with project funding; but the implication is that the institutionalization commitments of the IHE will be extended to include the resources needed to continue all such relationships.

3. District-Wide Adoption

When a project is developing a response to a district-level policy decision (e.g. alternatives to suspension) or an alternative instructional delivery system which can be made available to schools through district action (e.g. an individualized instruction program) the most appropriate scenario may be to work through district-level staff to secure a decision and commitment to follow-up support. It is important to note, however, that the literature strongly suggests that a district-level decision does not, by itself, lead to much success in adoption. Collaboration between the project and the district office must thus include provision of staff and other resources to follow this initiative through to implementation in selected schools and to train additional persons who can do such follow-up in other locations.

4. Existing Linkage Agencies

Many Teacher Corps projects function in geographic areas which are endowed with a rich array of teacher centers, resource

centers, and other agencies that carry out local and regional staff development/school improvement activities. Where a Teacher Corps project has emphases and strengths which coincide with the priorities and concerns of such linkage agencies, it may be able to maximize its impact through early and continued collaboration with these groups. The primary advantage of this strategy is that supplemental funding for spreading the impact of a project's "improvements" can be developed quickly. On the other hand, projects must resist the temptation to let the linkage agencies do the work of sharing for them, since it is important to stay in touch with the ideas and methods as they are being adopted/adapted, at least in the early stages.

5. Targeting the SEA

All projects are required to interact with their SEA, especially on issues related to professional development policy at the state level. But in some cases, the SEA is the primary agency for supporting, modifying the delivery of, professional development and school improvement services. Where this is the case, it may be appropriate for a project to make a major resource commitment to implementing plans which have been collaboratively developed with various SEA offices. These activities can be aimed at policy action, local adoption of project strategies, or both.

6. National Diffusion

Promoting adoption or adaptation through national systems of communication is a high-risk but potentially high-payoff strategy. Whether the method chosen is publication at the national level, presentation at national conferences, or working through the validation-to-diffusion process of one or more of

the national linkage structures, this strategy requires intensive commitment to a particular "product" of the project aimed at meeting external criteria, including in most cases, some specific evaluation requirements. In general, a commitment to follow-up on requests for further information and support can result in spread of the impact of an innovation far beyond what a project can achieve simply on its own resources.

7. Marketing

Where a project cannot make a clear early decision as to the most effective strategies for achieving the fourth outcome in its own context, a marketing approach may prove effective. The basic elements of this scenario are: contact with a wide range of potential audiences aimed at assessing initial interest in project products, processes, and practices; "secondary diffusion" contact with groups who have expressed interest, aimed at identifying groups most likely to adopt and implementing support to groups that have agreed to try some element of the innovative practices. In developing such a strategy, projects should remember that these steps are all needed, and that the opportunity to provide effective implementation support is greatest where the recipients are close in geography and concerns. In addition, the initial contact phase may be able to be conducted more effectively by a consortium of projects pooling their resources, thus giving potential adopters a broader list of components to survey.

SECTION II

FIVE SCENARIOS:
REPORTS FROM THE FIELD

CENTER FOR NEW SCHOOLS

DISTRICT-WIDE ADAPTATION/ADOPTION

MAE CHRISTIAN

ATLANTA, GEORGIA

DISTRICT-WIDE ADAPTATION/ADOPTION

The information which follows represents one approach to system-wide adaptation. The Atlanta Teacher Corps is very excited about the fact that the fourth outcome has been legitimized and mandated. There is, also, a brief history of the activities that have led to legitimizing this approach. In effect, when the fourth outcome is discussed, it refers to people, practices, and products. Persons who have been involved in Teacher Corps for some time are well aware of this fact.

The position taken by the Atlanta Teacher Corps is that education is the only hope for minority children and their familes. Therefore, this organization continues to demonstrate ways in which educational achievements can be obtained. In reaching this goal, there are some initial points to consider.

In the first place, it is important to share some ideas central to the philosophy of Atlanta Teacher Corps and the fourth outcome. Secondly, the processes by which this project evolved from a system-wide standpoint is particularly noteworthy. Thirdly, a discussion of the product and the project's current position is crucial to this discussion. Further, the project has been instrumental in helping the school system realize that a federal project should not serve as a substitute for the system itself. As a direct outcome of that effort, Atlanta has drafted a document which shows how the school system is in the process of allocating funds and appointing a

representative from the school system to implement its own humane discipline program. As a result, Atlanta was invited to offer valuable input into what is presently called fourth outcome.

The Atlanta Project which is a youth-advocacy Teacher Corps program, is an adequate vehicle that is used to legitimately address some of the tough issues facing young people in today's schools. School climate, disruptive behavior, discipline, and classroom management are issues that have been addressed. All of the above topics relate to helping children understand who they are, helping teachers understand their basic role, and helping all the different role groups focus together on what the needs of children are and how those needs can best be met.

With the collaborative support of Teacher Corps and the Law Enforcement Assistance Administration, Atlanta has devised a plan which demonstrates ways of impacting a number of problems. They include student attendance, teacher attritudes, students participation in the total school program, student and parent-initiated activities. This has resulted in students and parents being given an opportunity to make a significant difference in terms of what happens in the classroom.

Between October 1976 and May 1977, the "High School Crime Intervention Program" project was conducted. The project reports and accompanying materials are available in the Atlanta office. Some of the basic tenets of the Safe School Study conducted by the National Institute of Education were replicated. The curriculum of humane discipline was demonstrated to the school system at large as well as the state. This curriculum includes the minimum expectations for adult and student behavior in the classroom. This suggests that the

problem does not rest totally with the child. (See Tables two and three for impact of Teacher Corps on several critical student variables.)

The data referred to above clearly show that Teacher Corps intervention (the mini-school) had a positive effect on those variables identified as critical indices of student disruptive behavior. The data further suggested that the model employed during the six-month period studied, holds significant promise for effectively reducing student disruption on a larger scale given sufficient time, material and human resources.

The following basic assumptions undergirded the effort:

1. Teacher Corps was committed to demonstrating a positive approach to building a safe and responsive environment for learning - a system worthy of adoption by the school district.
2. The only way to save the children is to educate them, and if children are helped to understand who they are and what they have to offer, they will choose to become educated.
3. Effective education can only occur in a safe, stimulating, and participatory environment.
4. Students will and must accept their share of the responsibility for building and maintaining safe and success-oriented learning environments.
5. Safe and stimulating learning enviornments, in order to remain so, must be supported by an interested and concerned administration.
6. All role groups, including parents, must be intimately involved and share in the development and adoption of responsive processes and practices which contribute to safe

schools.

7. Overall, adults are responsible for what happens to children. Adults must accept that responsibility and take charge of building safe and comfortable learning places.

Development of the mini-school was the primary process through which the results were realized. In the project district, the mini-school became the alternative program for troubled youth at the secondary level. In the mini-school, emphasis was given to prevention of disruptive behavior through total school involvement in parent and student initiated activities. The mini-school specifically addressed the provision of "options" for a target group of previously incarcerated young people (re-entries) and a group of consistently disruptive youth. The mini-school (the school within the school) utilized individually designed intervention methods, involving students and teachers. These methods included: cycling all students through a training module, "self-society-solutions," use of regular rehabilitation sessions, and the use of graduate interns, who were trained as student peer counselors.

Three groups of students were involved in program initiatives: student leaders, disruptive students, and students having special educational needs. Each of these groups operated independently and engaged in these initiatives with varying approaches and levels of involvement relative to the characteristics of the respective groups:

In the mini-school, students:

-- shared responsibility for planning, implementing, and evaluating programs to meet their specific needs. This process included activities and personnel support which were designed to help the students develop and strengthen positive self-concepts.

-- were paired to discuss solutions to common personal and academic problems, as well as school and school-community problems related to crime and its consequences. Strategies included peer counseling, tutoring, and interaction activities. Causes of certain behaviors and attitudes, rather than symptoms, received top priority. Thus, it was expected that students would acquire problem-solving skills which could be generalized to other areas. Parents were involved in activities with students.

It will be useful, here, to provide some information in relation to the demonstration project and the steps used to arrive at this point. In Atlanta, the (LEA) Local Education Agency segment of the program, is located in the Division of Instructional Planning and Development, which is overseen by an assistant superintendent. Working very closely with that person has been significant. Collaboration with persons in top positions as early as possible is necessary and important. At this stage, a sense of commitment needs to be shared. Objectives can be realized despite the politics, the psychology, and the sociology of the system, if commitments are firm. Therefore, it is very important to work closely with the power structure and demonstrate some consistency as decision-makers observe the project in its development. The superintendent in the Atlanta schools is, in fact, also a close observer and participant in the project.

Feelings and concerns are stressed to observers about humane discipline. Belief in the viability of a program which would have effective parental involvement, some effective student participation, some effective change in teacher attitudes, and some, visible, positive classroom management was strongly suggested. The school board

invited the project to "implement its discipline program." This provided a basis for developing stronger support and commitment on their part.

The first concrete evidence of support from the LEA was their willingness to underwrite staff costs. Therefore, for several years Teacher Corps staff funds could be used in other needed areas. That has now changed, somewhat, because of the budgetary crunches. While LEA could not continue to underwrite staff costs, they did provide a huge area of latitude within which to work their continued support for work provided. Thus, in conjunction with the principal and other key staff a small booklet was developed that summarizes efforts of the project. The booklet outlines Atlanta and explains the implementation of a system-wide program of humane discipline. (Copies of "The Anatomy of a Program of Humane Discipline" are available upon request.)

In an effort to impress people with the significance of one approach, a high school and an elementary school, located in the middle of a low-income project, were used. They are 99 and 44/100% Black. The project operated on the assumption that these students are educable and the superintendent supported the effort. Every secondary school principal in the system attended two weeks of intensive workshops. That was a very productive experience. There were a number of people, some of whom appeared to be asking themselves the question, "why am I here?" By the end of two weeks, they were very much involved, running through the Glasser process, and looking at the development of curriculum. This situation exemplifies the progress that was made.

The two-week workshop, included an orientation to the discipline guidelines, because some of the principals were unfamiliar to them. Each school was requested to design an action plan which they later

submitted to the project office.

The project personnel understood the reality of this situation; that every single person would not be converted. However, this approach did serve to demand their attention. This also gave the leadership something positive on which to think. Perhaps, after Teacher Corps is gone, they will want to continue the work that has begun. Workshops were also conducted for classroom teachers, and a survey was designed to see how much had been learned. Students were surveyed, and a checklist for teachers was used to find out what had happened to these students as a result of new teacher-training. Information to this regard is included in "The Anatomy of a Program of Humane Discipline." Most of the teachers had, at least, become knowledgeable about what was attempted, as a process, and were at least able to express a different attitude toward the children involved. In Summer 1978, classroom teachers were assisted through the process of developing the collection of modules which have become the curriculum for humane discipline. (Copies of the modules collection are available upon request.)

Classroom teachers were also involved in the process of developing the curriculum for humane discipline. They came together from the public school classrooms and from the Youth Development Center, because as a youth advocacy program, there is commitment to working with incarceratory institutions. The work was presented to the Senate Committee on Juvenile Justice. There is presently before the Georgia Senate a House Bill to change the juvenile justice system, to deinstitutionalize young people, and to focus on the role of parents, teachers, and judges in developing a more positive attitude toward the incarceration of young children. Several teachers from the Youth

Development Center were also involved in the writing of the curriculum, which will be produced and utilized by the school system. The schema for training other school personnel was developed and the school system is in the process of appointing a director of discipline programs. With regard to the program's basic philosophy to which some attention was given early in this discussion, the assumption is that all children if given a chance, would rather display positive behavior. If every child could be made happy and self-confident, every child would exhibit a healthy attitude. Children are not adults, however, and should not be expected to behave as adults: they need time to grow, to feel, to touch, to experience, and to aspire to learn. Children need kindness and understanding from firm, assertive adults who will insist that youngsters respect authority. Adults who manage and guide the education of young people should care about the needs of children; they should also know the subject matter, and know themselves. In a nutshell, this is the philosophy of the Atlanta Teacher Corps.

Long before there developed a formal process, Atlanta was involved in many of these activities, sharing and passing on information and materials. Everything is related to the Fourth Outcome, and always has been. Now efforts are pointed toward specified and, articulated objectives, more importantly, the mandate offers greater opportunities for the project to share.

TABLES

TABLE I
THE ATLANTA YOUTH ADVOCACY TEACHER CORPS
CHRONOLOGY OF THE FOURTH OUTCOME
A DISTRICT - WIDE ADAPTATION PROCESS

1972 - 1976	1976 - 1978		July 1978 to September 1979
City-Wide Discipline Task Force Develop Guidelines	Discipline Guidelines under scrutiny (revisions, etc.) Superintendent and School Board invites Teacher Corps to lead implementation program		Atlanta Teacher Corps Activities: 1. Conducted Administrative University - intense two-week training. 2. Assisted principals in development of individual school action plans. 3. Development of individual school action plans. 4. Teacher Corps staff provided training sessions for school faculties, community groups, agencies and adjunct personnel. 5. Coordinated distribution of discipline guidelines summary brochures to all. 6. Presented television series. 7. Conducted conferences, workshops. 8. Conducted city-wide conferences. 9. Trained a task force of teachers in development of discipline modules. 10. Conducted courses in Classroom Management and Humane Disciplines. 11. Provided ongoing evaluation. 12. Developed Curriculum of Human Discipline.
----------	*1976 - 1977 ------ ------	Atlanta Project's	
	October - May Teacher Corp Law Enforcement Assistance Administration Collaborates to Support High School Crime Intervention Programs	Mini-School at East Atlanta High School replicates items on Safe School Study (NIE)	

*Teacher Corps program moves to plan, develop, <u>demonstrate</u> principles of humane discipline (adults and students).

TABLE 2

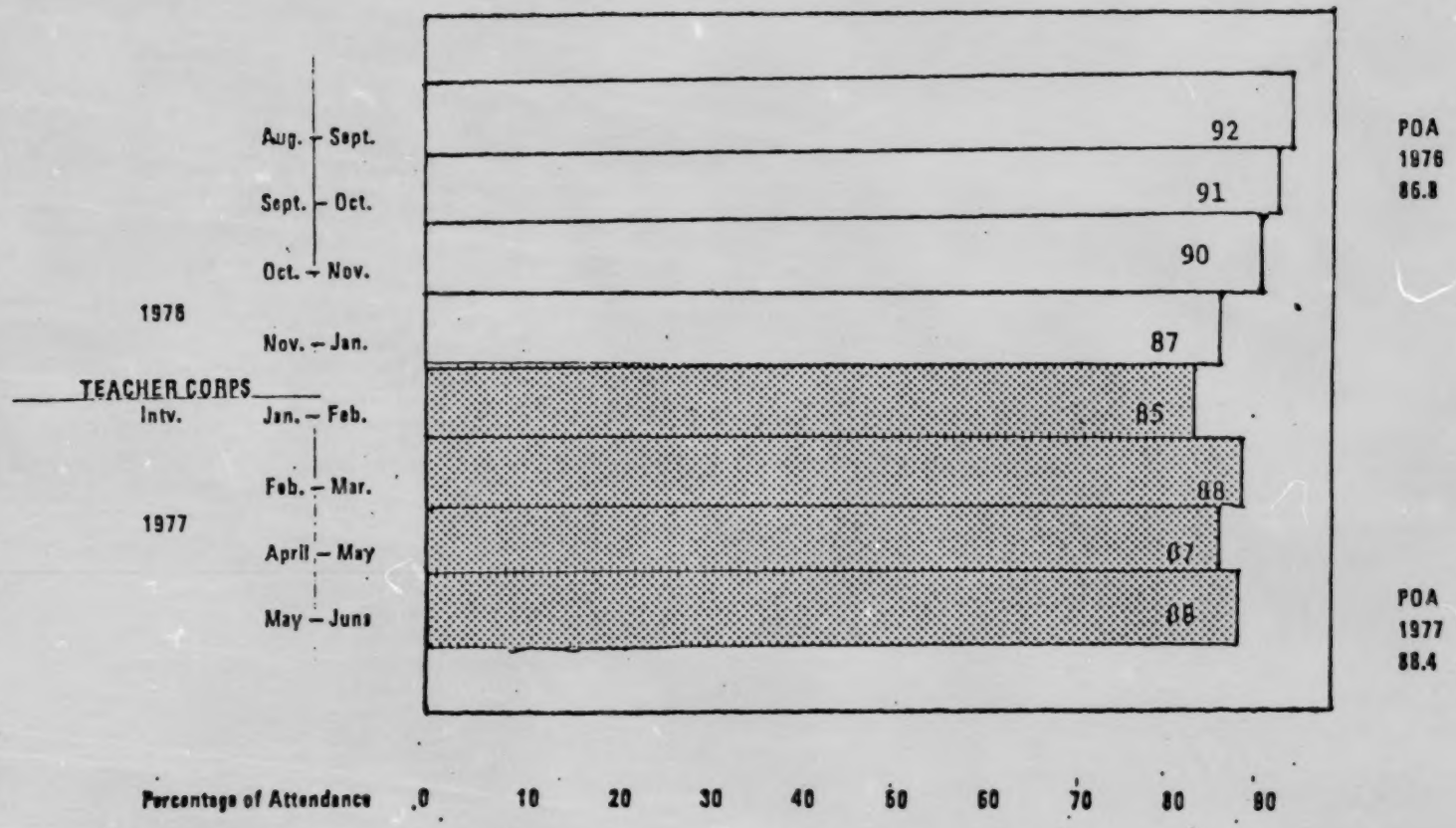
EVALUATION OF CHANGES IN INCIDENTS OF CRITICAL STUDENT VARIABLES - CLASS CUTS - DISRUPTIVE INCIDENTS - ADA

	January - May, 1976	January - May, 1977	Change
*Total Class Cuts	73	47	36% reduction
Average Class Cuts	4	2.6	
Total Disruptive Incidents	26	15	42% reduction
Average Disruptive Incidents	1.44	.83 less than 1	

*Statistics based upon a sample of eighteen (18) Disruptive Youth

TABLE 3

PERCENTAGE OF ATTENDANCE – HIGH SCHOOL



REACHING THE FOURTH OUTCOME:
DEMONSTRATION, DISSEMINATION AND INSTITUTIONALIZATION

BESSIE C. HOWARD

WASHINGTON, D.C.

THE "SHADOW SCHOOL" APPROACH

Consideration of process options for achieving the Fourth Outcome in the Washington, D.C., Howard University Teacher Corps project were analyzed in light of the realities of the School, University, and Community "host" systems. Decisions are, ultimately, made within these systems. Equally important are the dynamics of how these systems relate to each other in decision-making, and how the Teacher Corps project is perceived, currently and historically, by each. The selected approach may best be termed a "Shadow School" approach, and can be described, generally, as a process of identifying other sties in the host system for field-testing the basic thrusts and strategies developed in the project. The expected outcomes of this approach are:

1. Project strategies and thrusts validation in similar settings.
2. Gradual ownership, by the host system, of these project strategies and thrusts.
3. Increased collaboration on development strategies for integration of school programs and energy expenditures.
4. Increased sharing and utilization of resources throughout the host system.
5. Increased communication and human interaction within the host system.

The "Shadow Approach" has been a necessary strategy for achieving desired outcomes, and further investigation has shown this approach to be compatible with and supportive of other strategies. "District-Wide

Adoption" and "Existing Linkage Agencies" are the complementary and necessary approaches.

THE SETTING: HOST SYSTEMS

Howard University is located near the urban center of Washington, D.C., and has a student enrollment of approximately 11,000, eighty percent of which are Black. As the city has expanded, Howard has become more and more a part of the physical center. Five public schools are within a three block radius of the university, which has a long history of serving the community and educating Blacks for professionals careers. The School of Education has four academic departments: Curriculum and Teaching, Educational Foundations, Psychoeducational Studies, and Educational Leadership and Community Education.

Washington, D.C. is a city of approximately 675,000 people, 73.3 percent of whom are Black. There is, however, a wealth of multi-cultural resources provided by the presence of the federal government and related national and international relationships. The city is divided into six political wards from which representatives are elected to the city council.

The communities surrounding the project site schools are low on the socio-economic scale, and are apolitical. This disinterest in political issues can certainly be attributed in part, to city residents having been denied the right to elect a city government and congressional representative (still non-voting) until recent years. It is, therefore, difficult to initiate an election process of any kind within this community. Nonetheless, the community is beginning to develop a sense of potential political power and a need for active involvement.

The Teacher Corps community focused on the question: "How might you

support what is going on in the schools because you share with them a common goal—the achievement of youngsters?"

Public schools in D.C. like many urban school systems, have experienced a great number of changes in the superintendency over the past years. We now have decentralization of the system into six regions, each with autonomous leadership supervised by a central administration. Teacher Corps project schools are all in Region 4, under one regional leadership.

The schools have changed from being a racially mixed student body (before 1954) to one that is predominately Black. The current statistical figures show 99,610 Black students in a total of 105,362 students—or a 94.54 percent Black student population. We have witnessed "white flight" from the public schools, and an increase in the number of private schools as a preference of middle and upper income whites and Blacks.

In order to attack the non-achievement trend among students, the D.C. Public School system has mandated a city-wide competency-based curriculum (CBC). All regions and all schools must be accountable, and implement CBC within 2 to 3 years (1980-83). School programs must also justify other activities, in terms of CBC support and/or implementation.

A RATIONALE FOR THE APPROACH

The rationale for choosing the Shadow School approach to achieve the fourth outcome may best be understood by examining the historical relationship between Teacher Corps and the various host systems. History is composed of events, perceptions of these events by those involved in the system, and subsequent responses to these events by persons involved and by others. Thus, because we are considering "human" systems, possibilities must be projected based on human and systems relationships.

In the early sixties, the Cardoza Project in Urban Teaching, housed in Cardoza High School, Washington, D.C., was initiated to produce a new type of urban teacher for low-income youngsters. This project, with its Peace Corps interns, who were training and living in this community, had the distinction of serving as a prototype for the National Teacher Corps. Washington, D.C. and Howard University have had a Teacher Corps project every year since (1965-1978). At one time (1967-1978) there were as many as one hundred twenty (120) interns training in nineteen (19) schools at all grades levels. The first Master of Arts in Teaching (M.A.T.) graduates from Howard University were Teacher Corps interns. The school system acknowledges as some of its outstanding teachers and educational leaders, former interns, teams leaders, and other teacher corps personnel. There has also been considerable upward mobility for Teacher Corps staff over the years. Many have moved into school system administration, high-level academic positions within the university, civic leadership, and H.E.W. interns have proven themselves to be "master teachers." Community project staff members have become city leaders. Indeed, a part of Teacher Corps history has established credibility, in terms of what the current project will offer and its commitment to servicing the goals of Washington, D.C. public schools.

Another part of this history is related to the fact that the Washington, D.C. Teacher Corps began developing and implementing the concept of competency-based education for teachers and students as early as 1967. We were, therefore, capable of presenting the concept to the present superintendent of schools, prior to the mandate for CBC in 1976. Teachers who have been associated with Teacher Corps programs are able to work with the CBC concept at a significant level of authority.

This history has in effect, elicited high expectations, willingness,

cooperation, and collaboration from the host system.

STRATEGIES FOR IMPLEMENTATION

The project implementation strategies that follow are identified separately, but must be understood as interrelated. A Force Field Analysis was used to identify the forces which restrained achievement of the fourth outcome and those forces which supported such achievement. This analysis was the forerunner of the process of compiling the list. The strategies could not be conflicting in outcome.

1. The composition of the Washington, D.C. Howard University Teacher Corps Policy Board is testimony to the trust and collaboration generated by history. The policy board has an executive committee constituted by the superintendent of schools, the dean of the school of education (Howard University), and the chairperson of the community council. The director of the Teacher Corps project meets periodically with the executive committee to discuss those needs and priorities that will elicit maximum support and those that are low priority for their systems. There is no point in investing energy in an activity that has little value of importance in the view of their constituents. Other policy board members include the regional superintendent, the regional assistant for instruction, the principal and one teacher from each site-school, a community council person, the president of the Washington Teachers' Union, and two university faculty members. The policy board also invited two students, elected by the student councils of the project junior and senior high schools, to participate on the board. It is to be noted that the constituency and collaborative

posture of this policy board reflects the decision and design of the executive committee. Development of the policy board has been given careful consideration, and this body is, therefore, still in the early stages of formulating policies and procedures for self—and project-governance.

The policy board chairperson is the assistant to the superintendent for instruction, and is responsible for staff development in the region and, therefore, must advance our inservice training as an activity the region will support. Collaborative planning is then, both desirable and necessary. The idea is to make sure all those persons who must support the project (teachers, community, administrators, the dean, the teacher educators) are included in policy formulation and decision-making for the program. These steps are taken in acknowledgement of the existing realities of formal and informal power. Whether or not these realities make the difference is whether or not institutionalization is achieved.

Policy board meetings are held monthly in the regional offices, with high visibility for the project. There are, however, some possible dangers in beginning projects with this policy board design. It is largely, the history of Teacher Corps in the Washington, D.C. Howard University project which makes the design both feasible and productive.

2. Each of the project schools has a Needs Assessment and Planning (NAP) team, selected by the faculty. Each team member serves as representative and advocate for a peer group, providing all site school educational personnel access

to planning, implementation strategies, and evaluation of the inservice program for the school. In-service can be designed around the professional development needs of staff for implementation of the individual School Action Plan, within the framework of CBC. University facilitators worked with each school's NAP team in planning the first year. This support by the university also generated data which was used to more effectively plan for delivery of in-service. Representatives of each school NAP team, the university facilitators, and community council representatives, worked collaboratively with representatives of the other schools' NAP teams to plan inservice which would be responsive to their common needs and concerns. The increased intra- and inter-school interaction helped to crystallize priority in-service needs for grades K-12, and initiated peer support activities for that component of the project.

NAP team members have been instrumental in implementing and planning for the inservice. This group will be able to give personal assistance to Outreach schools as they attempt to utilize the products of the demonstration schools.

3. Research and our experience indicate that organizational change is not apt to occur unless team members perceive support for such change on the part of authorities within the organization. We, therefore, initiated dialogue with school principals, and advised and assisted in the structuring of a special professional development program for administrative teams in the project schools. The response was very positive. During the planning year, Dr. Nancy Arnez, a university professor in

the area of administration and supervision, worked with the administrative teams from all the site schools in planning a professional development institute. The major goal of tne institute was to identify "the competencies and skills needed to support in-service for teachers so that they can acquire the competencies they need to support the acquisition of competencies that students need". The program designed by the administrative teams has reached the lead of implementation, and includes administrative teams from both demonstration and outreach schools. These teams meet as a group with the university professor and have identified consultants. Meeting as a peer group provides them the opportunity for more openness and less defensiveness concerning their plans and needs in relation to achievement of a goal. Monthly feedback sessions are held for up-dating program information.

4. An on-going project is underway to identify human services resources in the community. This information will be available at each project school in order to support the notion of outreach resources for educational personnel.

5. Outreach schools are identified by central and regional administrators, based on their knowledge of receptivity, need, and feasibility. Project staff enters into dialogue with potential outreach school administrators to determine types and levels of involvement. A program orientation is then held for outreach school staff, and a commitment for involvement obtained. A NAP team is identified, by the host faculty, for collaborative planning in relation to project available services.

6. Project staff has emphasized collaboration in working with staff development personnel in the region, the CBC center, and Teacher Center, as well as with special programs, such as Title I. As a result, in-service is coordinated and conducted by members of Teacher Corps, Teacher Center, Region 4 university and NAP teams personnel. The capability for greater dissemination to outreach schools as well as to other non-teacher corps schools, is subsequently increased. The assistant for instruction staff in Region 4 and the Teacher Corps curriculum coordinator have, jointly, designed several inservice CBC instructional modules which are to be offered for inservice recertification credits by the school system. Teacher Corps schools will field-test these modules prior to their dissemination and use in other system schools.

7. As a result of planned inter-school visitations there will be an opportunity to share, more efficiently, the products and processes developed. For example, teacher resource rooms have been developed by faculty, Teacher Corps staff, and interns, in each of the demonstration schools. The systematic process and design for these spaces will be available as packaged materials, with support for replication. NAP team members from demonstration schools will be able to assist outreach schools in designing and developing their own unique teacher resource space. The process of assisting also has serendipitous rewards of increased communications and sharing in other areas, and increased knowledge of the system for educational personnel in the schools and university.

8. The community council serves as a linkage and support group for site schools and community coordinators in the region. The council will be able to assist the outreach schools in developing volunteer programs for persons to work with school

personnel as classroom aides, on priority school and community concerns (e.g. school security, drug abuse, individualizing instruction).

REALITIES: PLUS AND MINUS

Actually utilizing the "Shadow School" approach to achieve the fourth outcome has had both plus and minus assessments. Perceived as minus were:

1. The complexity of organization and structure of such an approach, requiring elaborate strategies for scheduling, administration, documentation, and management.
2. The need for continued high level political sensitivity and interaction required to maintain open communication and high levels of trust, is stressful.
3. Project and staff visibility is high, which means even small errors are spotlighted.
4. This approach means fewer activities for and less attention given to any one school or staff.

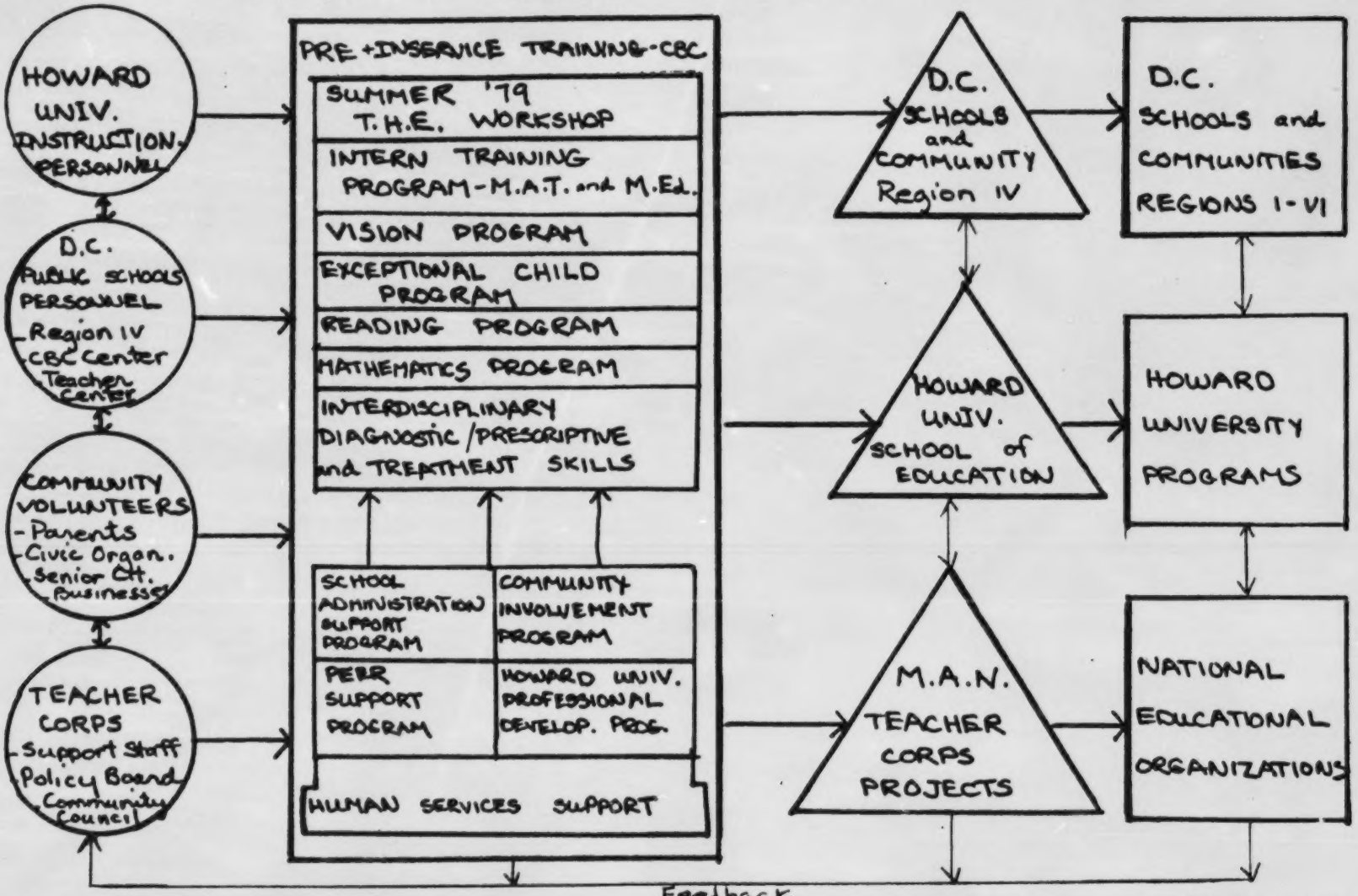
Perceived as plus were:

1. The quality and quantity of service delivery is made possible through greater personnel involvement.
2. The means available for delivery is made possible through greater personnel involvement.
3. The means available for delivering service is greatly increased.
4. Resource tradeoffs are made possible with other staff development programs (human and material resources, as well as time, and space).
5. Credibility of designs is enhanced and products are more

readily adopted and/or adapted by the outreach schools and the region, as a result of interested "authority" (school system supervisory personnel) involvement.

6. Communication between project staff and host system staff is continuous and open due to coordination requirements for various program components.
7. Positive on the part of Teacher Corps staff: (acceptance by the system, competence, usefulness).
8. The design of a doctoral program in school administration has been submitted to the university for approval, based on this year's on-site Administrators Professional Development Institutes.

IMPLEMENTATION MODEL



YEARS 2-5 PERSONNEL

YEARS 2-4 DEMONSTRATION

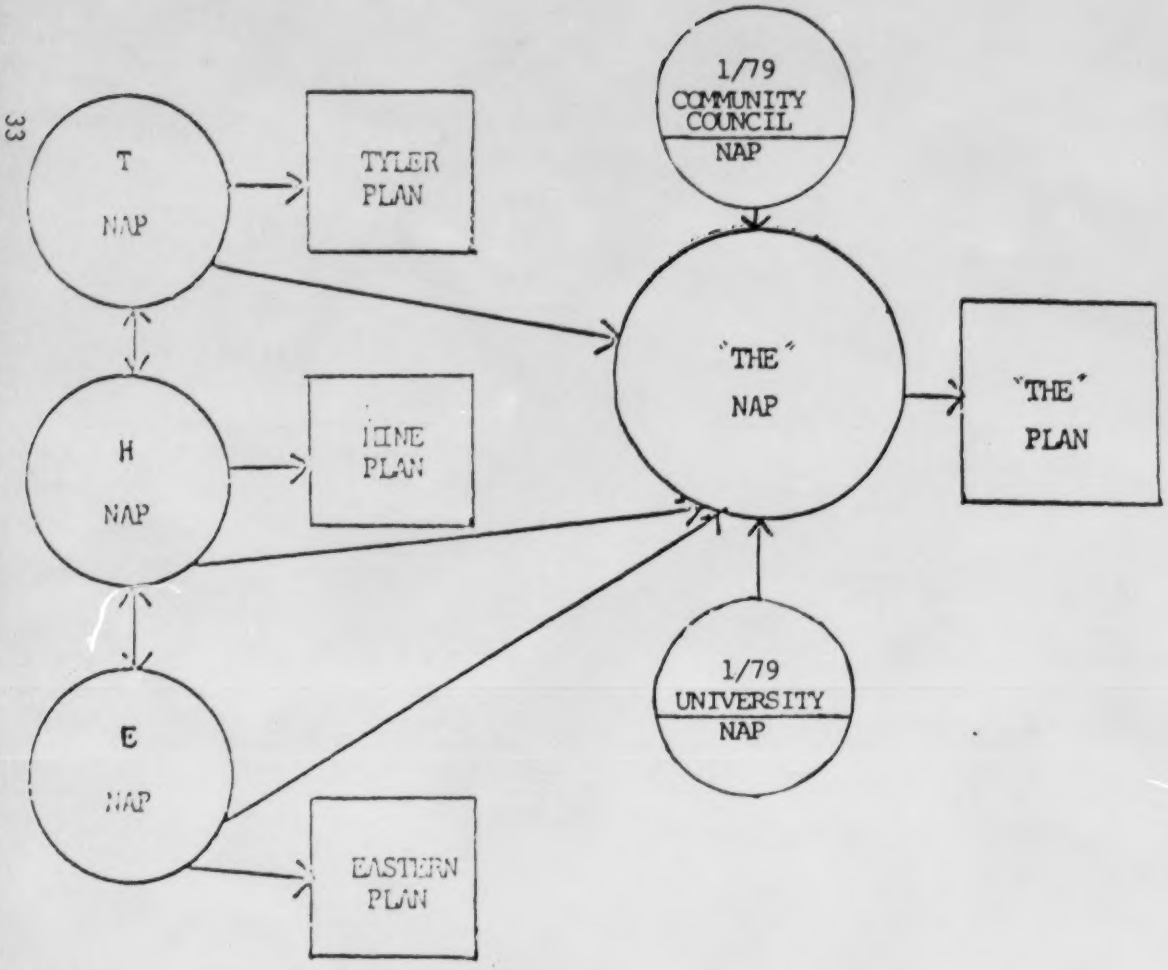
YEARS 3-5 DISSEMINATION

YEARS 4-5 INSTITUTIONALIZATION

NAP - NEEDS ASSESSMENT AND PLANNING TEAM MODEL

WASHINGTON, D.C. HOWARD UNIVERSITY TEACHER CORPS PROGRAM

T-Tyler Elementary
H-Hine Junior High
E-Eastern Senior High



YEARS 2-5		
"THE" PLAN		
T Tyler Plan	H Hine Plan	E Eastern Plan

33

48

SEPTEMBER-JANUARY

JANUARY-MARCH

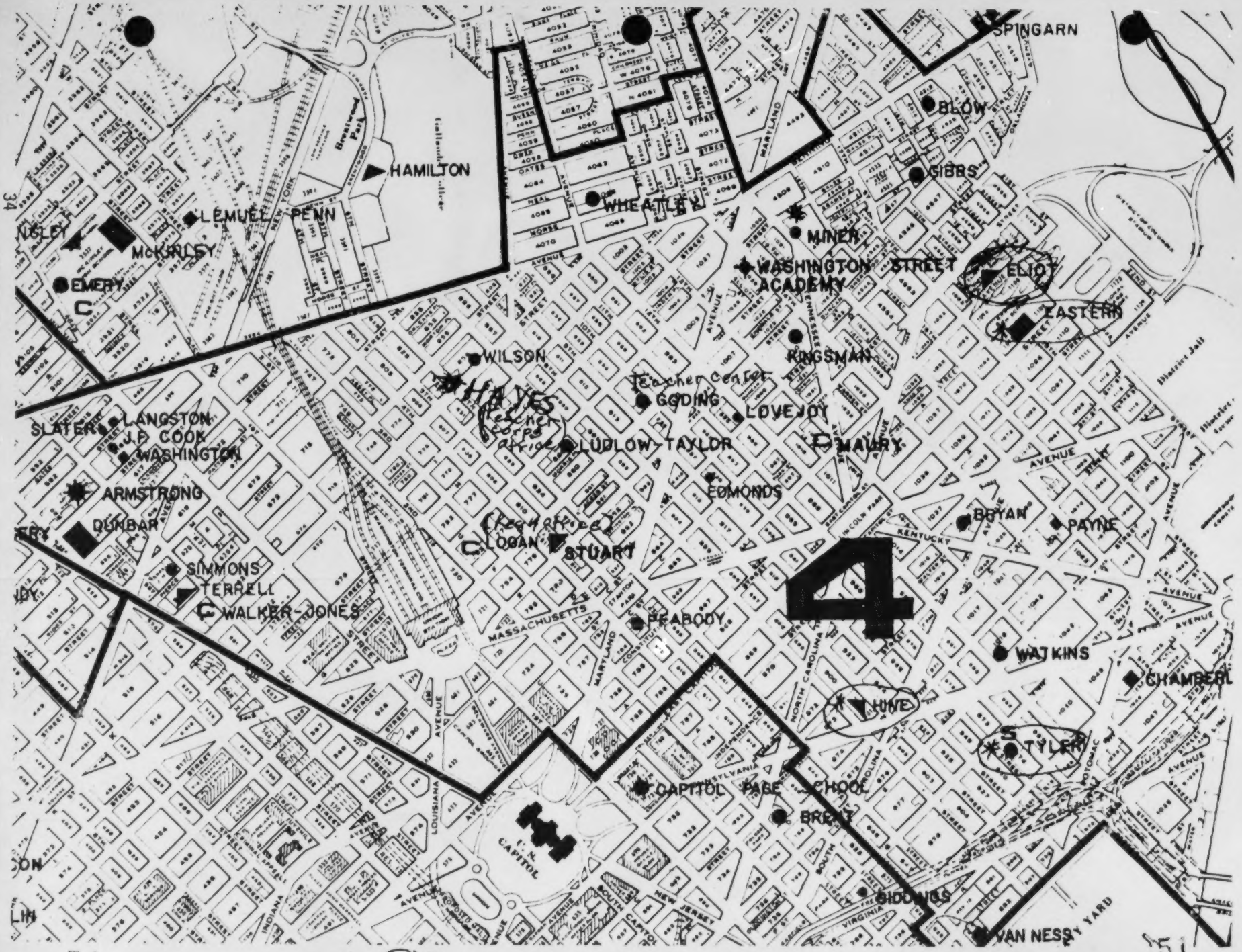
YEAR 1: PLANNING YEAR

APRIL 1979

PROGRAM AMENDMENTS

Documentor's Note:

Large chart of graphs used in presentations - chart given in handout package to Policy Board



✓ (*) Project Demonstration Schools

UTILIZING EXISTING LINKAGE SYSTEMS

JAMES BECKER

JEFFERSON COUNTY, KENTUCKY

UTILIZING EXISTING LINKAGE SYSTEMS

As Teacher Corps projects seek ways to disseminate/demonstrate programs and practices found beneficial, the identification and utilization of local or accessible structures that provide opportunities to do so, seems logical. Following is a brief discussion of the initial attempts of the Western Kentucky University/Jefferson County Teacher Corps project to identify existing linkage systems for dissemination, demonstration, and planning for the use of these systems.

With limited resources, the attempt was made to identify primary linkage systems that could produce a "ripple effect" for the dissemination/demonstration effort rather than attempting to utilize and coordinate all available systems from the project office. Through this effort, three major linkage systems were identified.

The first linkage system identified was within the project school system. Since the host system should be a primary target area for dissemination and demonstration. Specifically, this system was the Educational Development Center, which is housed and coordinated through the district Career and Professional Development Unit.

(Figure 1)
Demonstration Linkages
Teacher Corps Project

The Educational Development Center (EDC) is a consortium involving the district and three universities—University of Kentucky, University of Louisville, and Western Kentucky University. A primary

purpose of this consortium is to cooperate in and support the planning, development, and implementation of in-service education programs within Jefferson County. For the Teacher Corps project, this consortium offered access for dissemination/demonstration not only to the school district but also to the other institutions and, hopefully, their various constituencies.

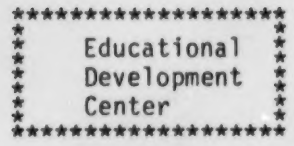
In planning for dissemination/demonstration through the EDC, three roles emerged for the project.

1. Refine/develop specifically identified programs, practices, and products emerging from the project that would be beneficial to the district staff development program.

2. Provide the necessary training and/or technical assistance to the professional development staff of the district (TTT) for delivering these programs, practices, or products to the teachers in the system.

3. Provide direct training to teachers in the district in specific areas.

(Figure 2)
Demonstration Linkages
Teacher Corps Project



Development TTT In-service Training

Project staff determined the last of these roles would probably be minimal due to the 120 mile distance between Jefferson County and Western Kentucky University.

Western Kentucky University is a state-supported institution with

a major mission to serve a specified region of the state. Consequently, a second linkage system serving districts outside of Jefferson County but within WKU's major service area seemed appropriate. The system or agency identified was the Professional Development Center Network (PDCN).

(Figure 3)
Demonstration Linkages
Teacher Corps Project

The PDCN is a 24 district network, or consortium, that combines its resources to plan, develop, and implement staff development programs for their districts. These programs are designed from needs assessment and analysis process that involves all of the teachers from the 24 districts and emerges as a flexible in-service program, allowing teachers access to training activities both within and across district lines. Therefore, Teacher Corps involvement through this linkage system not only offered direct and fluid access to a somewhat elaborate dissemination/ demonstration mechanism, 24 districts with approximately 3,200 teachers, but also seemed to allow the project to contribute to the regional area of primary importance to the university.

The same three project roles, identified previously, emerged from planning PDCN dissemination/demonstration activities. However, because

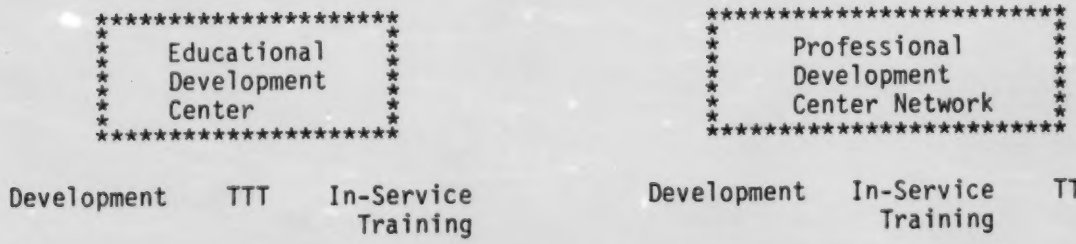
the districts involved in the PDCN are relatively small and close to the University, a change of role emphasis was required. This change was necessitated, primarily, by the lack of district personnel available to deliver in-service and the corresponding availability of university personnel to deliver training in these districts. Consequently, Teacher Corps projected PDNC roles, in their order of importance, would be as follows:

1. Refine/develop specifically identified programs, practices, and products emerging from the project that would be beneficial to the PDCN staff development program.

2. Provide direct training to teachers within the PDCN.

3. Provide, as appropriate, training and technical assistance to professional development staff within PDCN districts (TTT), for delivering specific programs, practices, or products to teachers.

(Figure 4)
Demonstration Linkages
Teacher Corps Project

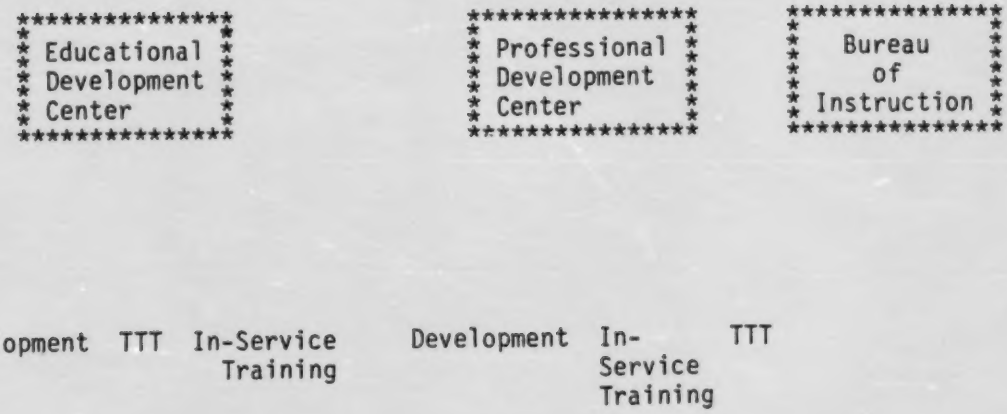


Although project focus will probably center on activities within the EDC and PDCN, the emphasis placed on dissemination/demonstration by Teacher Corps led to the identification of one additional linkage system. This system was identified by examining the appropriate available systems that were both outside of the project district and outside of the university service area.

Although Teacher Corps networks, national dissemination/demonstration contractors, and other broad impact systems are available, a logical choice

for project activities was the Bureau of Instruction within the State Department of Education. This bureau, which also functions as the state liaison for Teacher Corps projects, is interested and actively engaged in dissemination and teacher training activities throughout the state. If programs and practices developed by the project were successfully transmitted through this system, a high degree of impact could be anticipated.

(Figure 5)
Demonstration Linkages
Teacher Corps Project

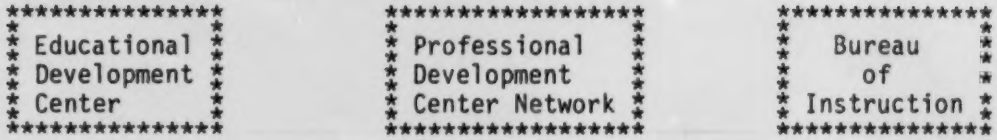


To impact this system, the primary project role would be to:

> Refine/develop specific programs, practices, and products emerging from the project that would be beneficial to Bureau efforts.

Once material from the project was received and disseminated by the bureau, however, secondary roles of providing training or technical assistance to state trainers (TTT) or direct delivery of training service to teachers by project personnel could be anticipated.

(Figure 6)
Demonstration Linkages
Teacher Corps Project



Develop-ment	TTT	In-Service Training	Develop-ment	In-Service Training	TTT	Develop-ment	TTT	In-Service Training

The previous discussion has simply attempted to report the initial efforts of one Teacher Corps project in addressing the dissemination/demonstration outcome. Obviously, much remains to be done within the project to both implement the ideas presented and expand the model to more clearly account for community efforts. Nonetheless, reflection upon this effort has seemed to produce, admittedly, in retrospect, a set of guidelines that might be useful in the selection of dissemination/demonstration linkage systems.

1. Select a reasonable number of linkage systems.
2. Select systems that are accessible.
3. Select systems that offer realistic opportunities for project dissemination/demonstration.
4. Select systems offering the greatest "ripple effect."
5. Select systems that have a history of involvement with the project, project institutions, or Teacher Corps.
6. Select systems that impact different audiences.
7. Select systems inside and outside the project district.
8. Select systems that will cooperate in identifying and facilitating appropriate project roles.

COLLABORATING WITH THE STATE EDUCATION AGENCIES (SEA)

LEE T. PETERSON

AND

LEO W. ANGLIN

COLLABORATING WITH THE STATE EDUCATION AGENCIES (SEA)

State Education Agencies (SEA) can provide a natural forum for the dissemination and institutionalization of Teacher Corps activities. In Ohio, the State Education Agency has taken major steps to form a collaborative partnership with local Teacher Corps projects by devoting time, money, and personnel to insure that local projects can make a difference in the education of youth throughout the state. In this paper, we have attempted to describe both the activities that are in process and future goals of Teacher Corps collaboration with the SEA.

BACKGROUND OF TEACHER CORPS AND STATE EDUCATION AGENCY COLLABORATION

Throughout the fifteen-year history of Teacher Corps, there has always been a suggested (if not required) directive to establish a strong relationship between the State Education Agency and the local site grant recipient of a Teacher Corps project. In order for an LEA and an IHE to file a request for funding, they must receive State Department of Education endorsement. What has never been defined is the degree of commitment behind the endorsement.

In the state of Ohio, long before the establishment of Teacher Corps supported networks, the Ohio State Department of Education saw a need to establish a subdivision within the department that would be charged with the responsibility of coordinating and monitoring all state and federally funded educational projects. Thus, firmly established within the Division of In-service Education is the position "Coordinator for Special Program." This position, currently filled

by Mr. C. William Phillips, assumes the responsibility for all Teacher Corps projects, all Teacher Center projects and all state of Ohio initiated Teacher Institute programs. Thus, these programs are treated as potentially strong influences on programmatic change in the teaching/learning process for children of Ohio.

Much has been written on who has the major responsibility for financing education within the United States. Percy E. Burrup's book, Financing Education in a Climate of Change, looks at the dilemma of financing education from the standpoint of local, state, and federal responsibility, but only infrequently addresses curriculum. In his The Dynamics of Educational Change, John I. Goodlad makes reference to a need for "productive tension between inner-directed and outer-directed efforts to improve (change), that must be created and maintained." He goes on to say, "Schools must be, to a degree, responsive to the exigencies of their own existence. This is why change, to be dynamic and productive, necessarily involves a certain state of tension between inner and outer forces." (p. 2)

The outer forces most relevant to Teacher Corps projects are functions of the State Department of Education. If the State Education Agency (SEA) elects to play an active role in curriculum/program evaluation then they can, and should, play a role in curriculum reform throughout the state. As Teacher Corps plays the role of outer force to a local school district, it also plays an important role to the SEA, as a sounding board for program development. The same holds true for Teacher Centers and state initiated Teacher Institutes.

TEACHER CORPS/TEACHER CENTER CONSORTIUM

For the past several years, Teacher Corps directors from the state

of Ohio have been meeting together on a formal basis to discuss common problems, interests, and state-related goals. These meetings have been mutually beneficial to both the Teacher Corps projects and the State Education Agency. The products generated, as a result of these meetings, have aided projects in the coordination of activities and objectives to state mandated teacher education requirements vis-a-vis State of Ohio Redesign of Teacher Education.

In 1974, seeing a need for statewide support, several of the newly funded project directors met with State Department of Education officials to explore the impact of Teacher Corps, beyond the Local Education Agency. It was at this meeting that we were presented the plans for a Teacher Education Redesign program that was being initiated by the State Department of Education. Teacher Corps directors were given the opportunity to influence program change as visible field-based programs with a federal mandate to explore new teaching/learning strategies. Throughout the first year of the Cycle Nine program (1974-75), several Ohio directors came together, both in-state, and at national meetings, for the purpose of discussing local programs, Ohio regulations, and the state-of-the-art, in general.

Between the years 1974-1978 as new projects came into the state there appeared to be an even greater need for the directors to discuss ways of implementing mandates from local, state, and federal levels. Some of these mandates required state approval, since minor conflicts between local/state/federal initiatives would arise.

By 1978, when the five-year funded programs came into existence, it became obvious that the two-year turnover was no longer a major factor and that local Teacher Corps projects had five years to influence local and state educational programs. If Teacher Corps was

to be an effective change agent, then the activities of a project had to be expanded beyond the LEA to the SEA. As a result, there was a formal organization of the State of Ohio Teacher Corps Consortium.

The original consortium consisted of four program 1978 projects and three Cycle 12 projects. As of this writing, the Cycle 12 projects are gone (one is now a Program 1979), and two additional Program 1979 projects have been added. Geographically, four projects are located in the northeast, two in the central, and one in the northwest part of the state.

Under the leadership of C. William Phillips of the State Department of Education, the Consortium for the past two years has met on a regular basis with a planned agenda. During these meetings, directors and other key project personnel are given the opportunity to: explore commalities and differences; present operational problems at the LEA level and seek collaborative problem-solving for the "vets" in the group; explore other avenues for collaboration, and have an opportunity to work with state department specialists; and to collaborate programs around their expertise.

By late 1978 and early 1979, the state of Ohio was beginning to receive its first Teacher Center grants. During one of our consortium meetings, representatives from the newly-funded Teacher Centers were invited to discuss their programs and explore the feasibility of the Teacher Centers in the state of Ohio joining the functioning Teacher Corps Consortium.

Although Teacher Corps and Teacher Centers have important differences, they both have the same goal: improving instruction through the professional development of teachers. This commonality of goal has made the marriage betwcen Teacher Corps and Teacher Centers possible and

it has become a simple and manageable reality because both programs relate to the same state office under Mr. Phillips. Both programs intend to influence teacher effectiveness.

It is differing strategies for goal attainment that mark the differences between Teacher Corps and Teacher Centers. Teacher Centers were developed based on the notion that teachers are capable of identifying their own teaching deficiences and are, therefore, capable and willing to rely on other classroom teachers to assist in improving such skills. Teacher Corps, on the other hand, relies heavily on the potential partnership between the research and development expertise of a university faculty and the classroom teacher and the involved community, to develop a support system, based on collectively perceived need.

GOALS OF FEDERAL PROJECTS/SEA CONSORTIUM

Paramount in the rationale for the formulation of a federal project/SEA relationship is the notion that a group of related projects can identify common programs and practices which will enhance the probability for adoption and adaptation. In this process each project serves as a model to other school districts and universities demonstrating working staff development strategies. Although the group is still in the planning stage, several missions for the Ohio Consortium of Teacher Corps and Teacher Centers are under consideration. These are the following:

A. Provide a basis for collaboration at a state-wide level for federally-funded staff development programs.

B. Provide leadership in encouraging and fostering successful staff development practices in public schools.

C. Provide leadership that will assist public school and

university personnel in understanding the nature of staff development, how it can be implemented and evaluated.

D. Publicize and illuminate alternative models in staff development which could be adopted or adapted in local school districts.

E. As an area of study, focus upon common elements that cut across all projects.

F. Develop criteria for qualitative control of staff development. The consortium can demonstrate successful practices.

G. Assist in the adoption or adaptation of successful staff development activities.

H. Assist in building a state-wide framework for staff development.

I. Illustrate how staff development can be built upon criteria outlined in the redesign.

J. Develop a framework for analyzing staff development programs.

K. Develop the basic criteria for successful staff development programs, and specify roles to be assumed.

SEA COMMITMENT

The development of the Ohio Consortium has received active support from the eleven Teacher Corps and Teacher Center projects across the state. Credit for its present success and for attainment of its future goals must go to the Ohio state department and the leadership of Mr. C. William Phillips. Since Mr. Phillips is responsible for both Teacher Corps and Teacher Centers, the coordination between projects has been a natural occurrence. He has promoted an atmosphere of collaboration rather than competition, which has made the consortium

a viable activity. Moreover, Mr. Phillips serves on a variety of state department committees and advisory groups which has provided a communication linkage between the Teacher Corps projects and other Ohio state department-sponsored activities. Mr. Phillips also has many close working relationships with school districts across the state, which helped improve the credibility of Teacher Corps and Teacher Centers outside their actual project areas. Another factor promoting the consortium is the availability of some Ohio State Department funds, through which expenses for meetings and state department-sponsored conferences have been met. Possibly the most important factor of all has been the state of Ohio legislature mandate, ordering school districts that receive state in-service money to file a plan for staff development with the state. This has created a distinct need on the part of school districts that are often passive regarding staff development, to seek guidance in planning and implementing staff development programs. The Teacher Corps/Teacher Center Consortium provides a natural resource for the schools and a major dissemination tool for the projects. In summary, the consortium in Ohio is becoming a viable entity because it has a combination of committed state department leadership available through limited funds to finance necessary meetings, and a mandate for staff development of public school educators across the state.

CONCLUSION

The State of Ohio Department of In-service Education has made an additional commitment to influence staff development in all public schools throughout the state. Currently, the department is making a sum of 48¢/student available to school districts to be used for this

purpose. This pilot program, if successful, may be expanded as high as $3.00/student in the coming years. Other incentives, such as teacher and school district grants, are being made available through the various departments within the SEA.

Federally-funded programs, such as Teacher Corps and Teacher Centers, have been given the opportunity to assume a leadership role in staff development programs. Many dissemination activities have already occurred beyond the boundaries of the LWA's. Still additional activities have been planned for the coming years.

It is with a great deal of optimism that the federally-funded projects throughout the state view their efforts as having a lasting positive impact on the children of Ohio. If we are to meet the demands of tomorrow, then we must continue to evaluate our past, document our present, and carefully plan our future. To do so is the mission of Teacher Corps—and the mission of our State Department of Education.

FEDERAL DISSEMINATION MECHANISMS

JAMES ECKENROD

FEDERAL DISSEMINATION MECHANISMS

When the personnel of a Teacher Corps project decide to "go national" with the dissemination of a project-developed product or practice, it is time to, then, make some decisions about the best means to "reach" general and/or particular educational audiences.

There are several different federally-supported dissemination systems that can serve to help establish contact with potential adopters of an innovative product or practice. The Teacher Corps Dissemination Project, at the Far West Laboratory for Educational Research and Development, will provide Teacher Corps projects with detailed information about the capabilities of various federal systems. A brief overview of how two systems might be utilized is provided here. One of the two systems, the National Diffusion Network (NDN), offers a highly structured nation-wide system of information and technical assistance to potential adopters of selected "exemplary" educational programs. It supports dissemination activities directly and requires extensive commitment on the part of participants. The other, the Educational Resources Information Center (ERIC), provides access to descriptions of exemplary programs, research and development efforts, and related information stored in a computerized data base through approximately 630 collection centers in the United States. ERIC is supported, in part, by user fees and involves a minimum of commitment on the part of users or contributors.

THE NATIONAL DIFFUSION NETWORK

In December 1979, the National Diffusion Network was supporting 142 Developer/Demonstrator (D/D) projects established to assist schools, post-secondary institutions, and others to improve their educational programs through the adoption of already developed, rigorously evaluated, exemplary education projects. The work of the D/Ds is aided by 108 State Facilitator (SFs) projects located within each state, the District of Columbia, the Virgin Islands, and Puerto Rico, through information conferences, workshops, and direct personal linkage between D/D's and potential adopters.*

Educational agencies throughout the country are eligible to seek assistance from NDN projects, either through the State Facilitators or by consulting Educational Programs That Work* for the names of Developer/Demonstrators.

There are two stages of assessment required to be funded as D/Ds under the NDN. If personnel from a Teacher Corps project want to apply for support to operate as a D/D project it is first necessary to submit information about the evaluation of the effectiveness of the innovation to the Joint Dsssemination Review Panel (JDRP). The JDRP, a panel of federal evaulation experts that reviews and approves exemplary education projects, requires projects to submit data that answers questions such as the following:**

1. How well did children (or teachers) perform after

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*The catalog of exemplary programs approved by the Joint Dissemination Review Panel of the Department of Education.

**Complete guidelines are contained in the Joint Dissemination Review Panel Ideabook, U.S. Department of Health, Education, and Welfare: Office of Education and the National Institute of Education, 1977; procedures for Teacher Corps projects preparing for JDRP submission are contained in the Handbook for Review and Validation of Teacher Corps Products and Practices, Far West Laboratory for Educational Research and Development, 1979.

exposure to the innovation, product, or practice

2. Are the gains reported statistically significant?

3. Are the gains large enough to be judged educationally important when compared to other more conventional procedures?

If the JDRP is satisfied that the evidence presented by the project indicates the product or practice is, indeed, effective, then the innovation is deemed "exemplary" and becomes eligible for support under the NDN. Approved programs are listed in annual editions of Educational Programs That Work. Not all projects approved by the JDRP, however, can be funded as NDN D/Ds because of funding limitations. Priorities are established from year-to-year. Early in 1980, the NDN was seeking to expand the number of programs at the secondary and post-secondary level, projects to meet urban school needs, and programs for teacher training institutions.

Although the JDRP assessment is a formal process and requires careful documentation of the effectiveness of an educational product or practice, preparation for it is not beyond the capability of any Teacher Corps project; it just takes a bit of forethought and planning. Remember that the panel is really looking for answers to some common sense questions about the plausibility of your evidence of effectiveness:

1. Is there evidence that anything important happened that is consistent with the stated claims?

2. Is there evidence that what happened is generalizable?

3. Can this credibly be attributed to the product or practice?

Your answers to these questions will contain information that you begin to collect from the earliest stages of project planning. When you are making the needs assessment for the initial proposal, and subsequent amendments, you are collecting data that contribute to the credibility

of the answers you give to the JDRP's questions. When you work through your own answers to the questions of, "What's wrong here?," "Why is it this way?," "What can be done about it?," and "How do we go about it?," you are defining the scope of the intervention (what happened?) to solve the problem (within the limits of the stated claims). Knowing the situation "as it is" provides you with the kind of baseline data you will need to demonstrate that your planned interventions really had an effect.

Throughout the periods of program development, evaluation, adaptation, and institutionalization you will be collecting evidence that your intervention made a difference, that the difference was educationally significant, and that the intervention could be used in similar educational settings. Care in designing the project evaluation will yield results in validating the outcomes later on. You might want to retain an independent evaluation consultant during the planning phase to ensure that you will have sufficient evidence of the effects of your program to convince not only the JDRP educational specialists, but also the potential adopter who may be only reasonably skeptical.

Assuming that you did plan ahead, made use of the Handbook for Review and Validation of Teacher Corps Products and Practices, and secured valid evidence that your planned Teacher Corps project intervention really did make a difference in the problem situation you tackled to begin with, then you are in a position to apply for JDRP approval. First, get a copy of the JDRP Ideabook and read it carefully. The Ideabook contains examples of application entries and explanations of the JDRP criteria. The Handbook provides clarification of the criteria for assessing educational products and practices, and outlines the process of Teacher Corps validation and the steps for submission to

the JDRP.

Basically, you will have to prepare a draft of the JDRP application, not exceeding ten pages, and following the prescribed format. Review it locally for completeness and accuracy, then submit it for prescreening review by the intermediate agency designated by your Teacher Corps Program Specialist. When the Teacher Corps validation process has been completed, the JDRP coordinator in the Teacher Corps Washington office will prepare a transmittal memorandum and forward your materials to the JDRP. While the TCW program office will present your submission at the JDRP meeting, you will want to be sure that you have gone over the various documents carefully, and that the JDRP coordinator "knows" your program.

If the JDRP approves of your innovative product or practice, you are eligible to submit an application for a grant for support under the National Diffusion Network. The application materials for the 1980 grants were issued in November 1979, and applications were due on January 3, 1980.

Developer/Demonstrators are required to disseminate information about exemplary products or practices throughout the nation; develop materials about the innovation for state Facilitators and potential adopters; prepare instructional, management, and training materials about the product or practice; provide training and technical assistance in planning, implementing, and evaluating the program for education service providers; monitor and evaluate the effectiveness of the dissemination process; participate with other NDN grantees in workshops and meetings; and cooperate with Facilitator Project personnel throughout the country. Awards may be made for up to four years, depending upon performance and the availability of federal funds.

According to experienced Developer/Demonstrators the key to success in helping clients make and sustain adoptions involves an interpersonal process characterized by commitment, involvement, training, enthusiasm, and follow-up. Thus, as decisions about project personnel to serve as D/Ds are made it is important to bear in mind the specific needs of potential clients and the rigors of the adoption/adaptation process. The NDN exists to provide the external support necessary to bring developers and potential adopters together; the other essential component of the system, however, is the personal commitment of those engaged in the school improvement process.

Educational Resources Information Center

The ERIC system is much easier to access than NDN, both for contributors and users. Although it cannot provide the same level of personal interaction as that supported by the NDN, the ERIC system does provide a wide range of information and user services. The source of policy for the ERIC system is Central ERIC, in the Department of Education, and it operates through support contractors and sixteen clearinghouses located at universities or professional societies. The clearinghouses, each specializing in a different, multi-disciplinary area of education, acquire and process documents, create Information Analysis Products (IAP), such as topical bibliographies, and serve local user needs. Central ERIC provides free directories of ERIC Microfiche Collections (approximately 630 sites) and ERIC Search Service locations (approximately 500 nation-wide) for users who do not have access to clearinghouses.*

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*Central ERIC issues a concise guide on user services, How to Use ERIC, and distributes it through the U.S. Government Printing Office, Washington, D.C. 20402.

Of the sixteen ERIC Clearinghouses the following have particular significance for Teacher Corps projects:

LIST OF ERIC CLEARINGHOUSES TO GO HERE . . . . . .

ERIC Clearinghouse on Teacher Education
American Association of Colleges for Teacher Education
One Dupont Circle, N.W., Suite 616
Washington, D.C. 20036
Telephone: (202) 293-7280

School personnel at all levels, all issues from selection through preservice and inservice preparation and training to retirement, curricula, educational theory and philosophy, general education not specifically covered by Educational Management Clearinghouse, Title XI NDEA institutes not covered by subject specialty in other ERIC Clearinghouses, all aspects of physical education

ERIC Clearinghouse on Higher Education
George Washington University
One Dupont Circle, Suite 630
Washington, D.C. 20036
Telephone: (202) 296-2597

Various subjects relating to college and university students, college and university conditions and problems, college and university programs; curricular and instructional problems and programs, faculty, institutional research, federal programs, professional education (medical, law, etc.), graduate education, university extension programs, teaching-learning, planning, governance, finance, evaluation, interinstitutional arrangements, and management of higher educational institutions

ERIC Clearinghouse on Educational Management
University of Oregon
Eugene, Oregon 97403
Telephone: (503) 686-5043

Leadership, management, and structure of public and private educational organizations, practice and theory of administration, preservice and inservice preparation of administrators, tasks, and processes of administration, methods and varieties of organization, organizational change, and social context of the organization

Sites, buildings, and equipment for education, planning, financing, constructing, renovating, equipping, maintaining, operating, insuring, utilizing, and evaluating educational facilities

ERIC Clearinghouse on Adult, Career, and Vocational Education
Ohio State University
Center for Vocational Education
1960 Kenny Road
Columbus, Ohio 43210
Telephone: (614) 486-3655

Career education, formal and informal at all levels encompassing attitudes, self-knowledge, decision-making skills, general and occupational knowledge, and specific vocational and occupational skills, adult and continuing education, formal and informal, relating to occupational, family, leisure, citizen, organizational, and retirement roles, vocational and technical education, including new sub-professional fields, industrial arts, and vocational rehabilitation for the handicapped

ERIC Clearinghouse on Urban Education
Box 40
Teachers College, Columbia University
525 W. 120th Street
New York, New York 10027
Telephone: (212) 678-3437

The relationship between urban life and schooling, the effect of urban experiences and environments from birth onward, the academic, intellectual, and social performance of urban children and youth from grade three through college entrance (including the effect of self concept, motivation, and other affective influences), education of urban, Puerto Rican and Asian American populations, and rural and urban black populations, programs and practices which provide learning experiences designed to meet the special needs of diverse populations served by urban schools and which build upon their unique as well as their common characteristics, structural changes in the classroom, school, school system, and community and innovative instructional practices which directly affect urban children and youth, programs, practices, and materials related to economic and ethnic discrimination, segregation, desegregation, and integration in education, issues, programs, practices, and materials related to redressing the curriculum imbalance in the treatment of ethnic minority groups

ERIC Clearinghouse on Rural Education and Small Schools
New Mexico State University
Box 3AP
Las Cruces, New Mexico 88003
Telephone: (505) 646-2623

Education of Indian Americans, Mexican Americans, Spanish Americans, and migratory farm workers and their children, outdoor education, economic, cultural, social, or other factors related to educational programs in rural areas and small schools, disadvantaged of rural and small school populations

Educational Resources Information Center
Central ERIC
National Institute of Education
Washington D.C. 20208
Telephone: (202) 254-7934

Teacher Corps projects should consider very seriously the submission of all their research findings, project reports, speeches and unpublished manuscripts, books, and professional journal articles to ERIC. It is advisable to send these materials to the ERIC Processing and Reference Facility (4833 Rugby Avenue, Suite 303, Bethesda, Maryland 20014). The ERIC facility will forward submissions to the appropriate ERIC clearinghouses. In these submissions, Teacher Corps projects should request that "Teacher Corps" be entered as one of the identifiers of the document so that other projects may be better able to locate such material.

Submission of documents and other materials is quite easy; a few hints on preparation will expedite the process. The documents come in many different sizes, formats, and forms, from Ditto and Xerox copies to printed material. In dealing with the wide variety of documents that are submitted to the system, various reproduction problems are met which limit the readability and value of a number of these documents. In some cases, documents cannot be accepted into the system because of these reproducibility problems.

1. PAPER

   a. Weight of paper should conform as nearly as possible to that usually acceptable in business typewritten media. Medium weight bond or reproduction paper on 16 to 20 pound stock is ideal. Use of onionskin and other flimsy or transparent types of paper should be avoided.

   b. Color of paper should be white or a light tint, but should not include the darker shades or solid colors such as red, purple, orange, brown, blue, etc. Colored papers that reduce the contrast between the print and the background will not microfilm well.

   C. Size of paper should be 8-1/2" x 11". Larger sizes and foldouts will often create the need to make overlapping, multiple images of each page, with resultant viewing difficulties for the reader.

2. TEXT

Text of a document should be oriented, whenever possible, parallel to the short dimension of the paper.

3. TYPE SIZE

To insure acceptable reproduction in both microfiche and hard copy, minimum type size should be 6-point. (This is 12-point type.)

The print-outs of ERIC materials indicate whether or not the material can be obtained directly from the computerized file (identifying numbers begin with ED) or if the reference is in an educational journal (EJ numbers) as follows:

EJ121716 SP503736
The Teacher Corps and Collaboration
Hite, F. Herbert: Drummond, William H.
Journal of Teacher Education, 26, 2, 133-4 Sum 75
Descriptors: *Federal Programs/ *Interinstitutional Cooperation/ Federal Government/ Educational Improvement/ Teacher Education/ Educationally Disadvantaged
Identifiers: *Teacher Corps/ Collaboration

ED173301 SP014077
Evaluation Report of the Teacher Corps Cycle XII and Program 78 Developmental Training Conference.
Burry, James
Nebraska Univ., Omah. Center for Urban Education.
Dec. 78 136p.
Sponsoring Agency: Office of Education (DHEW), Washington, D.C. Teacher Corps.
Contract No.: 300-77-0156
EDRS Price - MF01/PC06 Plus Postage.
Language: English
Geographic Source: U.S./California
Descriptive Characteristics of participants in the 1978 Teacher Corps Conference are first presented in this report. This data includes information on role in the teacher corps project, age, race, and geographic location. The report discusses participants' overall assessments of the sessions they attended daily. The major events of the conference are described, as well as how each event and its component sessions were judged by the participants and how they were selected for follow-up at the project level. The overall evaluations of the entire conference as seen in the post conference ratings of success are presented. A section is included dealing with interpretations of the evaluation data and recommendations for future national conferences.

(Author/JD)
Descriptors: Decision Making/ *Educational Objectives/
Government Role/ Program Development/ *Program Evaluation/
Identifiers: *Teacher Corps

SECTION III

TOOLS FOR REVIEWING THE SCENARIOS IN A LOCAL PROJECT

A. Worksheets for Evaluating Fourth Outcome Scenarios in the Local Project Context

The attached sheets provide some of the key questions that should be considered in deciding which of the scenarios for the fourth outcome have the greatest potential effeciveness in an individual project. After assessing the presentations, and reviewing quickly the other scenario descriptions, it is important to eliminate only those models which seem to have no significance. Some of these decisions may be automatic; for instance, district-wide adoption is irrelevant where the project schools are the whole of a district. Others may simply not be feasible given the historical relations of the project constituents with particular outside groups.

For any scenario which <u>might</u> be feasible in a given project, refer to the appropriate page in this section of the handbook and try to answer the questions. Peers, facilitators, and other consortium staff can assist each other when problems arise. The purpose of this package is to present some choices that can be considered in light of limited resources.

Following the worksheets for the seven listed scenarios, there is a sheet to formulate an independent scenario. Use this sheet as a guide if individual project situations lead to a "natural" relationship with particular audiences and communication networks which are not represented in the other scenarios.

Finally, there is a page at the end of the package which can be used to make an initial rough assessment of the scenarios. If the review process used for this outcome is collective, it may be possible

to involve several project participants in completing the form, and using this summary form as a way of exposing and utilizing alternative perspectives.

SCENARIOS FOR ACHIEVING THE FOURTH OUTCOME

ASSESSMENT FORM

I. "Shadow School"

1. What indicators would you use to decide whether a particular school or feeder system would be a viable "shadow" context for your project's activities?

2. What incentives would be needed to convince a school or schools to be involved with your project in this way?

3. Given these conclusions, are there other schools in your district or other neighboring districts who are viable candidates for this kind or relationship/ List a few examples, if you have them.

4. Will district and building administrators of these schools be supportive? Will they be able to provide additional funding?

5. Which components of your project are most likely to be usable in such settings?

Needs Assessment and Planning Methods Specifically:	Yes	No
Community Component Specifically:	Yes	No
In-service Delivery Systems: Specifically:	Yes	No
School Climate Components Specifically:	Yes	No

Other: (specify)

6. How soon could you identify shadow schools?

7. How soon could you begin actual work?

8. Notes and comments:

II. IHE Expansion

1. What are the incentives for your IHE to form additional extensive support relationships?

2. Is there funding available (or expected) to support such relationships?

3. Who are the key IHE staff in such a decision?

   What involvement do they have with your project in the next three years?

4. What would the role of your current staff be in such an expansion?

5. Do you have strong expectation that key features of your project would be preserved in such expansion? Which features?

6. What could be done in the next two years to encourage this activity?

7. Notes and Comments:

III. District-Wide Adoption

1. What are the major priorities in your district at this time? How does your project respond to these priorities?

   a. Policy Issues:

   b. Programmatic Concerns:

2. Do schools in your district tend to cooperate with or resist district-level initiatives?

3. Who are the key decision-makers whom you would have to influence at the district level? What is your current relationship to these decision-makers?

4. Does the district have (or expect) funds which could be used to support training efforts by project members in other schools and communities?

5. What could you do in the next two years to support such an initiative?

6. Notes and Comments:

IV. Existing Linkage Agencies

1. Describe the most important local and regional linkage agencies in your area:

Group #1

Name: _____

Control/Funding Source: _____

Service Area: _____

Priorities/Areas of Concern: _____

_____

Extent of Current Contact: _____

_____

Relevant Aspects of Project: _____

_____

Group #2

Name: _____

Control/Funding Source: _____

Service Area: _____

Priorities/Areas of Concern: _____

_____

Extent of Current Contact: _____

_____

Relevant Aspects of Project: _____

_____

(Use Reverse side for other groups)

2. Do these groups support developers of new methods as they work directly with potential adopters, or use only their own staff in such work?

3. What historical (political) factors in the relationship between these groups and key project constituencies need to be considered?

4. What steps could be taken in the next two years to ensure effective relationships?

5. Notes and Comments.

IV. Working through the SEA

1. List SEA offices with whom your project will have extensive contact in its life span.

2. How does the state post-secondary education office affect your project?

3. What priorities of the SEA is your project currently responding to?

   a. Policy Priorities:

   b. Programmatic Priorities:

4. What funds are available from the SEA to support developers of new methods as they work directly with potential adopters?

5. Can you coordinate efforts regarding the SEA with other Teacher Corps projects in your state?

6. What could you do in the next two years to increase the effectiveness of the "SEA Connection" in promoting adoption or adaptation?

7. Notes and Comments:

VI. National Diffusion Strategies

1. Describe any previous experience your project constituents have with diffusion (not just publication) through national scope organizations and agencies.

2. List one or more "products" of your project which might develop strongly enough to be approved for support at a national level.

3. Describe the local support you would need to commit major resources to getting such components ready for national diffusion and evaluate the likelihood that this support would be forthcoming.

4. What national professional organizations do significant project members work closely with?

   Which of these organizations have the capacity to support work with potential adopter/adapters?

5. What can the project do in the next two years to prepare for national level diffusion?

6. Notes and Comments:

VII. Marketing Scenario

1. Name one of more groups of potential adopters which are large enough to require a marketing approach before specific adopters can be identified.

2. What medium of communication would be most effective in encouraging members of such groups to ask for further information?

3. What elements of your project might require "marketing" in this sense?

4. Are there other improvement projects with whom you could collaborate on "initial" awareness activities?

5. Can such initial awareness activities be carried out in the next project year?

6. Insofar as other sites respond positively, how many sites could receive training and follow-up assistance within your project resources?

7. Notes and comments:

VIII. Your Own Scenario

(Many strong models for promoting adoption or adaptation are tied to characteristics which are not shared widely within Teacher Corps. If your strongest opportunity for achieving the fourth outcome has not been previously described, use these questions to help you articulate it.)

1. Name the audience(s).

2. What are the elements of your project most likely to be adopted by these audiences?

3. Describe the critical steps in achieving adoption or adaptation in this context. Pay special attention to incentives which might be required by the audience groups.

4. Which of these steps have already been taken?

5. Could this scenario be expanded by combining elements of other scenarios? Describe some of these possibilities.

Program '78 _____ '79 _____
"Old" _____ "New" _____

Scenario Evaluation

Evaluate the scenarios you have reviewed in the following rough scale. Please make a copy (next sheet) and hand to your facilitator.

		Will Definitely Promote Adoption		Might Promote Adoption		No Chance to Promote Adoption
1.	Shadow School	1	2	3	4	5
2.	IHE Expansion	1	2	3	4	5
3.	District-Level	1	2	3	4	5
4.	Existing Linkage Structures	1	2	3	4	5
5.	SEA Focus	1	2	3	4	5
6.	National Diffusion	1	2	3	4	5
7.	Marketing	1	2	3	4	5
8.	Your Own Scenario (Describe) _____	1	2	3	4	5

_____

_____

_____

_____

_____

_____

_____

_____

_____

Scenario I: "Shadow School"

Sample Objectives

Year 2:
1. To identify a second feeder system within the district as "shadow schools" for utilization of project strategies.
2. To complete agreements with all principals and other key constituents of the identified schools vis-a-vis needs assessment and planning activities, and the resources needed to support them.

Year 3: To carry out needs assessment and planning activities in the identified "shadow schools" and complete agreements for the implementation activities and the resources needed to support them.

Year 4:
1. To carry out successful implementation activities in the "shadow schools" as planned.
2. To identify and develop agreements with additional "shadow schools" for needs assessment and planning activities.

Year 5:
1. To carry out needs assessment and planning activities in the second group of "shadow schools," and develop external support for implementation activities.
2. To complete evaluation report on the first "shadow school" effort, and use the results to modify materials and processes.

Year 6: To carry out successful implementation activities in the second group of "shadow schools."

Etc.

(Note: Obviously, as the process described above moves into its later

stages - towards the sixth year - it become critical to develop non-project resources to carry out the work. The agencies able to provide this support should be "brought into" the process as early as possible.)

Scenario 3: District-Level Adoption

Sample Objectives

Year 2:
1. To collaborate with key district staff in the offices of _____, _____, and _____ to identify at least two components of the project for district-level adoption or diffusion.

Year 3:
1. To complete an agreement for district-wide adoption of at least one component of the project.
2. To initiate the field-test of the selected component(s) in at least _____ schools.

Year 4:
1. To complete and evaluate the field test.
2. To revise and share with all relevant district schools, materials and training methods relevant to implementation of the component(s).
3. To establish resource allocations from project and district funds for full-scale implementation activities and evaluation.

Year 5:
1. To support successful implementation of the component(s) in at least _____ additional schools.
2. To complete plans for post-project (Year 6, etc.) continuation of implementation efforts.

Scenario 7: Marketing

Sample Objectives

Year 2:
1. To select project components and target audiences for first phase of marketing efforts.
2. To develop materials and other processes relevant to creating initial awareness and interest in the components among the identified audiences.

Year 3:
1. To carry out and evaluate initial awareness activities planned in Year 2.
2. To plan and field-test secondary awareness/choice activities with _____ interested groups.
3. To allocate resources for further work on this strategy based on feedback obtained.

Year 4:
1. To provide secondary-awareness/choice activities to _____ additional groups.
2. To assist _____ groups in implementation of the identified components.

Year 5:
1. To evaluate and revise strategies for all levels of assistance provided.
2. To continue secondary awareness and implementation assistance as warranted by response of outside audiences.
3. To plan and commit institutional resources to an additional cycle of marketing activities.

PROMOTING ADOPTION AND ADAPTATION:

PLANNING AND EVALUATION GUIDELINES

INTRODUCTION

A. CONTENTS

The guidelines that follow have been created to help Teacher Corps projects achieve Fourth Outcome results. There are four chapters included. Chapter one presents a plan for assessing the project with respect to Fourth Outcome objectives and results. Chapter two describes a procedure for targeting audiences for Fourth Outcome adoption and for using unsolicited requests to refine and broaden audience targeting. A planning and progress reporting system for achieving Fourth Outcome results is described in Chapter three. Chapter four explains the process by which evaluation can be used to validate Fourth Outcome results and demonstrates how activity efficiency can be improved.

B. USES

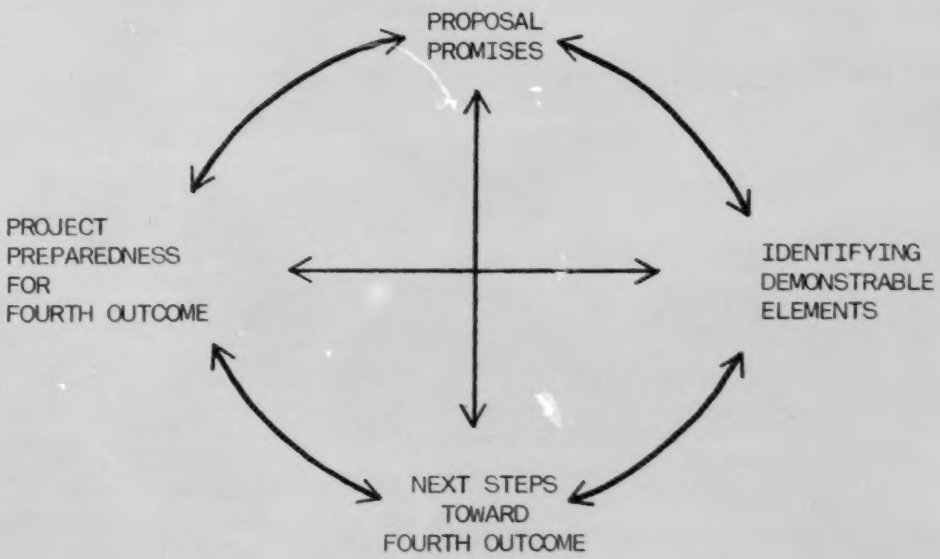
The guidelines are designed to serve a number of purposes.

1. This document may be used as a resource for writing Teacher Corps proposals.
2. It can serve as an annual review and planning format.
3. It may be especially useful as a reference when the need arises to judge project status, select audience, make plans, and carry out evaluation.
4. It can also be used as a source of standard tested forms for planning, budgeting, and evaluating.

C. PERSPECTIVE

The ideas and forms presented in these guidelines were prepared to serve the needs of all of the individual Teacher Corps projects regardless of their position on the national urban/rural spectrum. Successful use of a document targeted toward such a diverse audience seems to require that project participants be selective in embracing or rejecting specific recommendations or using certain forms since only those "on site" can have a clear understanding of the character of a particular operation.

PROJECT STATUS RELATIVE TO THE FOURTH OUTCOME



Chapter One

PROJECT STATUS RELATIVE TO THE FOURTH OUTCOME

Chapter One has three main sections:

A. Project Preparedness for Fourth Outcome

Section A includes a review of primary objectives in the proposals, with a procedure for critiquing each objective. The end product is an updated list of Fourth Outcome objectives, ranked in order of importance to the project.

B. Identifying Demonstrable Elements

Section B identified project "demonstrable elements" that have not yet been included in Fourth Outcome objectives, and then gives a procedure for critiquing the viability of translating each "demonstrable element" into a Fourth Outcome result.

C. Next Steps Toward Fourth Outcome

Section C summarizes the results of the processes outlined in Sections A and B.

A. PROJECT PREPAREDNESS FOR FOURTH OUTCOME

This section has five subsections which give project participants an opportunity to make a preliminary review of the status of the project which should be an asset in moving on toward the major goal of promoting adoption and adaptation.

1. Review Proposal Promises

2. Articulating Project Commitment to Fourth Outcome Promises

3. Defining Project Strengths and Style

4. Rejecting the Trivial

5. Initial Summary Evaluation

1. Reviewing Proposal Promises

Some parameters on Fourth Outcome activities have already been established by what was described in the proposal. Start by listing all objectives related to the Fourth Outcome. An easy way is to mark up the relevant proposal document.

In the real world of proposal writing, project planning, and compromises, there are three questions that need to be answered:

-- What was the original intent with regard to meaning in the original proposal?

-- How did Teacher Corps Washington interpret the resultant meaning after the implementation of the proposal?

-- What is our modified meaning if there has been any significant movement in thought from the original plan as submitted for approval?

The answers may lead to some immediate "definition readjustments" to make sure that Teacher Corps Washington comprehension matches current project understanding.

After the definition readjustments are complete, list the Fourth Outcome objectives as they are currently understood, on the Project Objectives Review Form, in the column, Fourth Outcome Objectives Description.

Once the Fourth Outcome objectives have been clearly articulated the question of results versus activities needs to be raised, and

it is important to distinguish between the two. If only activities can be discerned, it may be possible to convert those activities into solid, lasting results.

Here is an example of the activity/results dichotomy.

Activity: Our project will work with Local Schools 545 and 643 to help them use our Plan X as an alternative to their present policy of suspending students who are absent for excessive periods.

Result: Two other schools adopt Plan X as an alternative to suspending Middle School students for excessive absences.

One may find that there are significantly more activities than results. Sometimes, as in the above example, activities can easily be converted. Others may not be easily converted. The recommendation is to modify them, if possible. If not, "No" should be marked in the column, "Authentic Result," as a reminder to reformulate the promise later.

2. Articulating Project Commitment to Fourth Outcome Promises

In spite of the fact that the Fourth Outcome is a mandated condition of Teacher Corps funding, it is fair to assume that some have difficulty producing results outside the project and the project's institution, even though they have built in, Fourth Outcome results in their proposals. This initial reticence, or less than perfect support, of the Fourth Outcome need not cause great consternation, nor prohibit the achievement of Fourth Outcome results. Problems will arise, however, unless there is careful and continuous evaluation of approaching or definable outcomes, so that more results are discernible instead of a battery of activities. The following questions are suggested to help evaluate project commitment to the promises identified:

a) Do the Fourth Outcome results naturally evolve from what we are doing? If not, can we make modifications that will make that outcome more likely?

b) Are the logistics clear for achieving our Fourth Outcome results; that is, have we put together objectives, strategies, and techniques that will obtain the results promised?

c) Are the project personnel committed to the Fourth Outcome in general and to the objectives set forth in the proposal?

d) Are there enough on site personnel to get the job done, or are additional skills needed?

e) Can progress be determined frequently?

f) Was the budget adequate to get the job done?

g) Was sufficient calendar time allowed to meet the objectives?

The importance of these questions cannot be overestimated. A short discussion of each one will clarify the exact functions.

a) Natural Evolution

An example of a Fourth Outcome result that evolves naturally from current project activities might be the creation of an instructional package that teaches typing and spelling simultaneously. The package would be a recorded cassette. Getting other schools to adopt it (Fourth Outcome result) follows naturally because test results show that spelling scores rose dramatically when students were exposed to this instructional program. Adoption and Adaption could be encouraged since the program is contained in a medium (cassette) that is inexpensive and easily transported.

An example of a project operation that does not naturally evolve into a Fourth Outcome result is the creation of a parent-teacher group trained to use community organizing techniques to gain control

of five school board seats in a small town. Adoption by others will not come easily, since the objective is unique, training in community organizing techniques takes time, and the psychic flow of energy of project staff may drop dramatically following the actual school board election.

Analyzing the "natural evolution" from a current project operation to Fourth Outcome result will be neither as dramatic nor as clear as our examples, but it can be done. We suggest the following rating scale.

1. The Fourth Outcome objective has nothing to do with current projects and does not follow as a natural next step.

2. The Fourth Outcome objective seems to be a natural next step, but there are problems.

3. The Fourth Outcome objective flows easily and naturally from current projects.

b) Logistics Clear

The process of proposal implementation should, in itself be an avenue for growth of the project participants. There is no need to feel, therefore, that there is concern only for results. It is important, however, to avoid neglecting that which follows the suggestion of strategies, activities and techniques. A logical final question may be "What does this all mean." When project participants are able to move into the realm of assessing the impact and significant differences brought forth in any facet of the educational program and then disseminating that information successfully so that the locale of beneficiaries is diversified and broadened, then it may be said that various degress of adoption and adaptation have been achieved.

c) Personnel Commitment

Staff commitments are essential in an effort to obtain good results for Fourth Outcome objectives. Consider the following ranking scale for measuring staff commitment.

1. No commitment
2. Minimal commitment
3. Strongly committed

d) Personnel Capabilities

Funded projects usually promise results that are well conceived, carefully planned, and undertaken with vigor. But if specific skills for implementation are lacking, the final results are disappointing.

Evaluate each objective in terms of special skills and capabilities required, and then rate personnel for that objective in the following manner:

1. Much assistance is needed.
2. Minimal assistance is needed.
3. No assistance is needed.

e) Progress to Date

A sign of commitment to any result is demonstrable progress toward the goal. We recommend that each Fourth Outcome result be questioned: "Does our progress coincide with our time frame?" Adjustments for unavoidable delays will have to be made. Therefore, the following rating scale is suggested:

1. Progress rate indicates poor commitment
2. Progress rate indicates sufficient commitment to get the job done
3. Progress rate indicates high commitment

f) Money and Material Resources

Teacher Corps project personnel have a history of attempting miracles with extremely modest sums - especially regarding Fourth Outcome results.

In terms of evaluating money and material resource commitments, consider the recommendations below. Firstly, we are developing some rules of thumb for what portion of the total project budget should be devoted to Fourth Outcome. Our proposed percentages are:

First Year _____
Second Year _____
Third Year _____
Fourth Year _____
Fifth Year _____

A second method is to pose two questions relative to each Fourth Outcome objective:

-- Is there sufficient money budgeted?

-- How can shortage by in-kind material contributions be corrected?

Again, consider the following rating scale:

1. Definitely insufficient money and materials to achieve objective

2. Barely enough money and materials to achieve objective

3. Money and materials definitely sufficient; no problems anticipated.

g) Calendar Time

Common errors in planning a time frame for specific objective:

1. simple optimism -- being unrealistic about a time frame;

2. tunnel vision -- planning as if no other activities will be competing for personnel time;

3. vacation blindness -- projecting a heavy meeting

schedule in July and August when most of the participants are unavailable; or in September when most of the participants are deeply involved in getting the school year started.

Rate the Fourth Outcome objectives:

1. Project will not be compled as planned.

2. Project may be completed as planned.

3. Project will definitely be completed as planned.

3. Defining Project Strengths and Style

The project staff, with skills and ideas, has already accomplished a great deal. There is a Teacher Corps grant, the project is underway, and there are probably a number of other "successes." These achievements are most likely based on a number of project strengths that are unique to this specific operation.

These strengths can be used to achieve Fourth Outcome results. It is important that they be clearly defined. It is also important not to go against the project's strengths in the Fourth Outcome operations.

Some questions necessary for highlighting strengths are:

a) How did the project get funded? What were the key ideas, pressing needs, personnel skills, and contacts? Who were the key persons?

b) What is unique about this project? What were the basic ideas, staff, organization, and tenacity?

c) What are the five most important accomplishments? How were they accomplished? Who, what, and how were they achieved?

d) How does the project operate most effectively? Under pressure? With lots of time? With lots of freedom? Closely structured?

e) What kind of management style is used? Authoritarian? Consensus? Loose? Tight?

f) What kinds of resources are available? External or internal personnel, money, equipment, and materials, specialized resources (T.V., A.V., media, linkages), monies, free time, or other resources.

g) Who are the real "fans" or "boosters" of this project? Have they been important to the growth? If so, how? How can they be used more effectively?

Management theory references sometimes give the impression that strengths and style can be clearly defined. Our experience is that these elements are not easily reported, although most people can, with reflection, comprehend what their unique strengths and style are.

However, each Fourth Outcome promise relative to a particular project's style and capabilities should be rated. (There is a column for this purpose.) It is not uncommon to find that project proposals indicate results that go contrary to the project style, and over look objectives that the project could easily achieve.

4. Rejecting the Trivial

Center for New Schools and many other technical assistance groups have come to recognize that one of the greatest problems with organized planning (MBO in its various formats: listing goals, objectives, strategies, milestones, techniques) is that it can result in objectives that are impressively stated and readily assessed, but ultimately trivial.

The following exemplify this concern:

> Three schools in the northwest quadrant of District Any City, a State, will adopt our format for recording inter-office memos, using our forms and our distribution system.
>
> All secondary schools in District 509, Paupertown, any State, will keep three, rather than two, copies of attendance records so that the attendance clerk does not have to share her records with the computer programmer.

It is recommended that each Fourth Outcome result be rated relative to whether it is substantive or trivial. The following

questions are offered as assistance:

a) Will students be helped? How much?

b) Will the "adoption" make a detectable improvement in the operation of the institution taking it on?

c) Will the result contribute anything to better understanding of how to help people learn?

d) If the result fails, will anyone miss it?

e) Does Teacher Corps Washington consider this promise trivial or substantive?

No doubt, questions can be added to this list and probably can intuitively rate each Fourth Outcome promise on a scale of 1 - 5 without formal analysis.

Our suggested rating descriptions are:

1 = Trivial and not worth pursuing

2 = Receives low priority

3 = Probably worth carrying out

4 = Definitely a substantive objective

5 = One of the most substantive objectives

5. Initial Summary Evaluation

At this point, a list of Fourth Outcome promises have been given, followed by 12 evaluative categories. Theoretically, each promise can now be judged as:

1 = Should be dropped

2 = Needs modification

3 = Worth keeping

Our column 13 provides space for such rating. But remember, later work on audiences may cause you to re-evaluate specific objectives.

B. IDENTIFYING DEMONSTRABLE ELEMENTS

The Fourth Outcome is not something that happens after the first three outcomes have been accomplished. Section A of this chapter proceeds from the perspective that Fourth Outcome results have been promised in the proposal and are a part of every project from the first month of operation.

It is important that:

1) Operations frequently differ from plans.

2) New insights emerge from actually doing the work.

3) Actual project operations quickly change one's judgments about what is trivial versus substantive, feasible versus impossible, or compatible versus incompatible with project staff and operations.

A useful exercise for Teacher Corps projects is to periodically raise the question, "What has been learned or accomplished that can be of use to others?" In Teacher Corp terminology: "What 'demonstrable elements' does this project possess that might lead to Fourth Outcome results?"

To that end, the following three-step process is recommended to be performed at least twice a year:

1) Identifying "demonstrable elements."

2) Refining and focusing the identified elements.

3) Integrating the demonstrable elements into current Fourth Outcome plans.

At this point, it is important to recall the clear distinction between demonstrable element and Fourth Outcome.

> Demonstrable element -- The project of University Y, working with a school in District 101, has developed a peer counseling plan that has replaced the previous practice of automatically suspending chronically absent students.

Fourth Outcome -- As a result of work completed by University Y and School District 101, School District 202 has implemented a peer counseling plan similar to the one developed in District 101 that replaced their previous practice of suspending chronically absent students.

1. Identifying Demonstrable Elements

Many times, demonstrable elements (lessons performed or learned) surface through the everyday operations of the program. It suddenly dawns on staff persons that "product x; process a; approach g; or policy p" are lessons that other schools or universities can use. The issue then becomes one of recording these findings so they can be followed up and passed on.

But the cliche regarding the "trees and forest" is also true. There are many demonstrable elements that go unnoticed and unused because project staff do not take time to "discover" them.

Hence, a periodic process is recommended (twice a year) wherein the Teacher Corps staff (and others) review the dimensions of the program with the purpose of determining what others might use.

The following list of categories provides a starting point for such a brainstorming session.

Personnel (selection, training, development, support).

Planning (intra-project, intra-institutional, inter-institutional, techniques).

Key Insights (controlling ideas, rejection of certain bromides).

Organization and Management (styles, techniques, specific problem solving).

Pedagogical Processes (teacher-student, student-student, student-parent, teacher-parent).

Policies (those that support, that harm, that work, that do not work).

Products (needs instruments, programmed instruction, packaged training).

Anything Else.

In this step, it is important to examine everything that might become a demonstrable element -- something others might use. It is a good idea to commit the results to a form like our Demonstrable Elements Rating Form.

2. Refining and Focusing

Once all the possible "lessons learned" or demonstrable elements have been identified, it will be necessary to delimit the field. It is impossible to follow up on all the demonstrable elements of even one project. At this point, the refining (delimiting) process from the project perspective should be discussed. In the real world, audience identification and inter-action will greatly affect what elements are selected. But from the viewpoint of specific projects, the elements can be rank ordered.

a) What elements have the fewest technical (hardware and software dependence) hindrances to being adopted or adapted by others? What elements present the most technical or logistical difficulties?

b) What elements are related to the uniqueness of the current project, and hence could not be easily used in other environments?

c) What elements will the staff readily help to develop in other situations? What elements will the staff not readily support?

d) Which elements will take a long period to develop in new situations? Which can be developed in a relatively short period of time?

e) Which elements are relatively trivial in their impact on improving education? Which will have substantive impact?

f) What elements are the most/least expensive?

A Demonstrable Element Rating Form has been provided in these guidelines which can be used for recording and evaluating the elements.

a. Technical Feasibility. Suggested rating scale:

1 = Requires very special hardware or software available

2 = Requires hardware and software that is usually available

3 = No technical hindrances

b. Generalizable or Unique. Suggested rating scale:

1 = Unique to our situation

2 = Not sure about others using

3 = No problem for others to adopt or adapt

c. Staff Commitment. Suggested rating scale:

1 = No staff commitment

2 = Probable staff commitment

3 = Definite staff commitment

d. Calendar Time Needs.

Estimate calendar months to help another agency or institution adopt the element.

e. Triviality Rating. Suggested rating scale:

1 = So trivial it is not worth pursuing

2 = Probably worth doing

3 = One of our most substantive elements

f. Expense. Suggested rating scale:

1 = Great expense

2 = Some expense

3 = Little expense

3. Create a Fourth Outcome Objective?

After evaluating all the demonstrable elements, it can easily be decided if new Fourth Outcome objectives need to be created. This decision can best be made if the audience has been identified. Until Chapter two is completed, this step may be premature.

Nonetheless, tentatively rate each demonstrable element as:

1 = No, this should not be pursued any further.

2 = Yes, this should be pursued toward a Fourth Outcome objective.

FOURTH OUTCOME STATUS REVIEW FORM

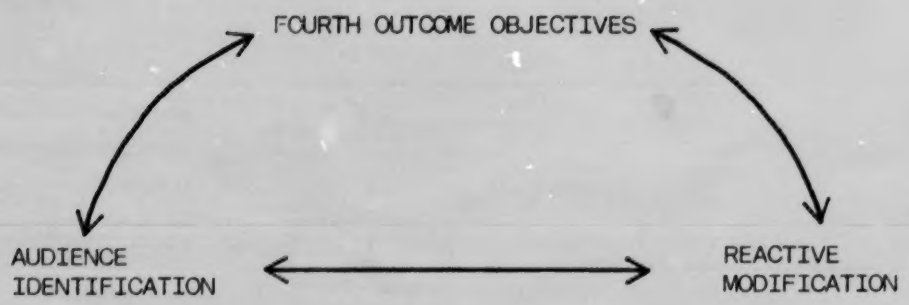
06

FOURTH OUTCOME CURRENT PROMISE LIST	Meaning Changed	Authentic Result	Success Measures Defined	Natural Extension	Logistics Clear	Personnel Commitment	Personnel Capability	Progress to Date	Adequate Resources	Realistic Time Frame	Fit with Project Style	Trivial/ Substantive	Initial Evaluation
	Y/N	Y/N	Y/N	1-5	1-5	1-5	1-5	1-5	1-5	1-5	1-5	1-5	1-3

DEMONSTRABLE ELEMENTS RATING FORM

ELEMENT DESCRIPTION	Technical Feasibility 1-5	Generalizable/ Unique Rating 1-3	Staff Commitment 1-5	Calendar Time Needs (Mo.)	Triviality Rating 1-5	Pursue Toward Fourth Outcome Y/N	Expense 1-3

AUDIENCE IDENTIFICATION



Chapter Two

AUDIENCE IDENTIFICATION

Your project proposal has already identified audiences with whom you hope to achieve Fourth Outcome results. But as your project evolves, you will need to periodically re-think the issue of Fourth Outcome audiences, both specifying all the potential audiences, and then deciding how much effort you will give to each group.

This first section contains activities to help projects expand their horizons about potential audiences, and then focus activities on high-priority audiences. The second part of this chapter discusses how to react to unsolicited group interest, and integrate this concern into audience identification process.

A. TARGETING AUDIENCES

In this section we will be working through three steps:

1. Broadening Horizons -- making sure no potential audiences are missed.
2. Narrowing the Focus -- evaluating relative potential for each audience.
3. Setting Audience Priorities -- deciding how much effort to expend with each group.

Before discussing the process, here is a reminder about what constitutes a Fourth Outcome audience. Your Teacher Corps project has contact with a number of audiences who are part of the project

operation. In the natural course of events, your project will serve these persons and their institutions in ways that transcend the original promises of any proposal. But, these are not necessarily Fourth Outcome audiences.

Fourth Outcome audiences are those groups that stand outside the perimeter of groups directly served in the project. Unfortunately, there are no clear criteria that can be applied to all projects for defining who is "inside" or "outside" the project's "direct" services. You should also consult Teacher Corps Washington to help you clarify what is and what is not a Fourth Outcome audience.

1. Broadening Horizons

At least twice a year during the five funded years of the project, the staff should actively brainstorm about what Fourth Outcome audiences the project can serve.

Three suggested approaches for brainstorming to expand the list of Fourth Outcome audiences are offered.

a) Service Logic Method -- start with the project and list all agencies or institutions who might use the demonstrable elements from your project.

b) Linkage Approach -- List all the (formal and informal) linkages extending from the project to audiences outside the project.

c) Geographic Approach -- Start with your project's geographical location and work out in all directions, looking for schools and institutions who might be served by the adoption or adaptation of demonstrable elements from your project.

The Service Logic Method has been the traditional way to describe Fourth Outcome audience selection. It starts from the logical position that a project has found problem solutions that others can use. The

issue then becomes one of finding audiences that have the same or similar problems or goals that the Teacher Corps project can help solve with its demonstrable elements.

The Linkage Approach originates from the premise that Fourth Outcome results have the greatest probability of being used in institutions where some interaction between the Teacher Corps project and the other group is already taking place. It assumes that most institutions can benefit from what the Teacher Corps project has learned, but the critical issue is to find existing links between the project and the other agency, so that the Teacher Corps operation has a high probability of actually accomplishing some results.

The Geographic Approach accepts the assumptions of the Linkage theory, but adds the premise that geographic proximity is very important to any sharing process. Transportation costs are lower, time spent in travel is reduced, informal interaction is easier, participants frequently share a common frame of reference, etc. It is suggested you use all three approaches to help generate names of new potential audiences.

An Audience Priority Review Form is included so that you can use it to list the audience names and then rate each group in later steps outlined in this chapter. On our form we have three columns for listing which approach(es) generated the name.

2. Narrowing the Focus

Finite resources preclude any project working with all potential Fourth Outcome audiences. And while it is good to regularly add to the list of potential groups, it is necessary to focus one's efforts

on a limited number of groups. We suggest that you narrow your list of potential audiences using seven criteria:

a) Which Fourth Outcome results seem possible and how high a ranking do these results have (see Chapter One)?

b) Are we already committed to this audience by the proposal or some other current dimension of our project operation?

c) Will the audience style fit with our project style?

d) Does this audience bring economic advantages to Fourth Outcome plans and operations?

e) Can we reasonably affect the decision-making and cooperation mechanisms of this audience?

f) How good are the existing links that would support our project efforts and activities?

g) What other advantages does this audience bring?

Let us explicate each point.

a) Possible Fourth Outcome Results

The priority given to particular Fourth Outcome results is affected by which audience is being served. But the audience ranking must be tempered by the value of Fourth Outcome results that are possible. For example, the Fourth Outcome result may be that High School X is using some papermoving techniques that your project has developed and piloted. That is a Fourth Outcome result, but it ultimately does not have much importance to the overall goals of Teacher Corps, and probably has limited value for either your project or the school adopting the operation. If that is the only Fourth Outcome result you can achieve with High School X, then that school will get a low rating.

The first step is to list all possible Fourth Outcome results for each potential audience. If you are using our forms, you will be

able to do that by putting the numbers from the first chapter forms next to the possible audiences in the column marked "Fourth Outcome Results Possible."

Once you have listed Fourth Outcome results for each audience, rate the audience in terms of the quality of possible Fourth Outcome results. A suggested scale is:

1 = Fourth Outcome results trivial and not worth doing

2 = Results worth achieving if effort level is minimal

3 = Results worth achieving if effort level is moderate

4 = Results worth achieving if efforts are costly

5 = Results worth achieving no matter what the cost

b) Prior Commitments

Proposal promises and strong previous commitments by the Teacher Corps project affect the priority rating for each audience. If you have promised, in your approved proposal, to work with a given audience, or if your department has strong ties to certain audiences, you will most likely work with one of these audiences. We suggest that you rank each potential audience in terms of these prior commitments on the suggested scale:

1 = No prior commitments

2 = Some prior commitments, but open for change

3 = Prior commitments that require that we follow through

c) Audience Style Fit with Project Style

It was noted in Chapter One that it is foolish to go against the strengths and styles of your own project, so we now want to state

that working with an audience that shares your style of operation has a greater chance for success than working with a group whose management and operational processes are very different from yours.

An example (or caricature) will explain.

> Project A is working on reducing chronic absenteeism at several small school districts in southwest Michigan. The IHE is a Private College, an institution with 500 undergraduate students and 300 graduate students. The education department has eight members. There are five LEAs, each having one high school with an average enrollment of 700.
>
> Private College and the five LEAs have a ten-year history of working together and the Teacher Corps project decision-making process is through consensus building.
>
> Project A is considering two possible Fourth Outcome audiences:
>
> 1. School District Small Town, that is also in southwestern Michigan, with a high school enrollment of 685.
>
> 2. School District Suburban High, which has six high schools, each enrolling 1,000 students; the superintendent has used an elaborate MBO format for management, that has several defined procedures that must be followed for any new program implementation.

In real life, the choice between options is rarely so obvious, but certainly some estimate of compatibility between project and audience can be made and used as one of the criteria for deciding which way to proceed.

Here is a three-point scale:

1 = Audience definitely not compatible with project

2 = Audience compatibility may pose problems

3 = Audience definitely compatible with project

d) Economic Advantages

Fourth Outcome results require resources -- sometimes far beyond the monetary and personnel capabilities of the project. So it is

important to rate audiences in terms of what economic advantages they bring to the accomplishment of Fourth Outcome results. Economic advantages can come in different forms. The obvious one is money, second is free professional assistance, third is gratis equipment or materials. Economic advantages also include savings of money, time, or materials. Geographic proximity is worth money by reason of the gasoline, telephone, and time costs saved.

For this judgment we recommend a five-point scale:

1 = Very negative; there are many economic disadvantages

2 = Somewhat negative because of economic costs or disadvantages

3 = No economic advantages or disadvantages

4 = Some economic advantages, especially in comparison to other audiences with whom we might work

5 = Definite economic advantages, either in savings or in resources the audience can bring to our efforts

e) Affecting the Decision-Making Process

Just as each Teacher Corps project has a somewhat different decision-making operation, so Fourth Outcome audiences will have various decision-making processes. Your ability to reasonably affect the decision-making process of a particular audience will greatly alter or affect the results you achieve.

It is wise to consider each audience in terms of what kind of decision-making operation it follows, and in terms of what you judge to be your chances of affecting that process.

In thinking about this aspect, ask yourselves:

-- Do we know how the group makes decisions?

-- Do we know how the key persons who make decisions would affect our work?

-- Do we have ready access to the key decision makers?

-- Are we clear on how we will proceed to get decisions made?

After your reflection and discussion, we suggest the following rating for each potential Fourth Outcome audience:

1 = We cannot affect the decision-making process

2 = Getting decisions will be very difficult for us

3 = We have no advantages or disadvantages toward affecting decisions

4 = We can affect the decision making

5 = Our ties to the decision making are strong

f) Linkages

The concept of linkages has become popular in the past few years. Politicians use it, job development programs emphasize it, state education associations operationalize it, and proposals generally mention it.

In its most primitive common sense form, "linkage" means personal relations that operate in both intra- and inter-institutional ways to get things done. But not every link is "person-to-person." ERIC is an example of a linking agency that is both impersonal and effective.

In simple terms, the principle of linkages states: "Everything goes better where linkages already exist."

Here is a three-point rating scale for this element:

1 = No linkages exist

2 = Linkages exist, but it is questionable whether they can be used to obtain Fourth Outcome results

3 = Linkages exist that we can definitely use

g) Other Advantages

You are encouraged to add other variables that can influence your decision about which audiences you will work with to the six criteria already given. You can use either a three-point or a five-point scale to rate them.

3. Setting Audience Priorities

After listing the various audiences, and then rating them as we have done in the first two steps, it should now be possible for you to rank the various audiences:

1 = We will not pursue anything with this audience

2 = This audience has low priority

3 = This audience has medium priority

4 = This audience has high priority

5 = This audience has top priority

Again, we caution you not to ignore the interaction that naturally occurs between audiences, demonstrable elements, Fourth Outcome objectives, and project operations. If you are working systematically through the handbook, we suggest that you perform a "looping" operation at this juncture. Using the Audience Priority Review Form, re-evaluate your ratings on the Fourth Outcome Status Review Form. You may want to add new objectives, re-rank objectives, or delete some entirely.

When you have completed you re-evaluation of the Fourth Outcome Status Review, return to the Audience Priority Review Form to determine if you wish to make any changes.

B. REACTIVE MODIFICATION

Fourth Outcome results rarely occur only according to plan.

Many results occur because a group comes to the door of a Teacher Corps program and literally "steals" whatever it can from the project. It is naive to assume that audiences can only be identified through systematic planning of the type that we described in Section A of this chapter. Audience identification may be quite reactive. But not every visit, call, or letter merits a reactions from your project personnel. The challenge is to identify and respond to viable audiences.

First develop a procedure for quickly and simply recording the name of each group that contacts you by phone, visit, letter, or through friends. A sign-in book for visitors is a common method of keeping track of names. A card file is another way. A log of phone calls and letters can contain the other contacts.

If you carry the documentation to its next logical step, you will also record the questions and interests of the group. This can be filled in by the persons visiting.

Once you have regular records about inquiries, capitalize on these gratuitous linkages by periodically reviewing the group names (once a month should be adequate unless many groups are constantly contacting your project) and pose four questions:

1) How did these people hear about us?

2) What were their inquiries?

3) Should we include them on our list of potential audiences?

4) Do their inquiries suggest that we add some item to our Demonstrable Elements List?

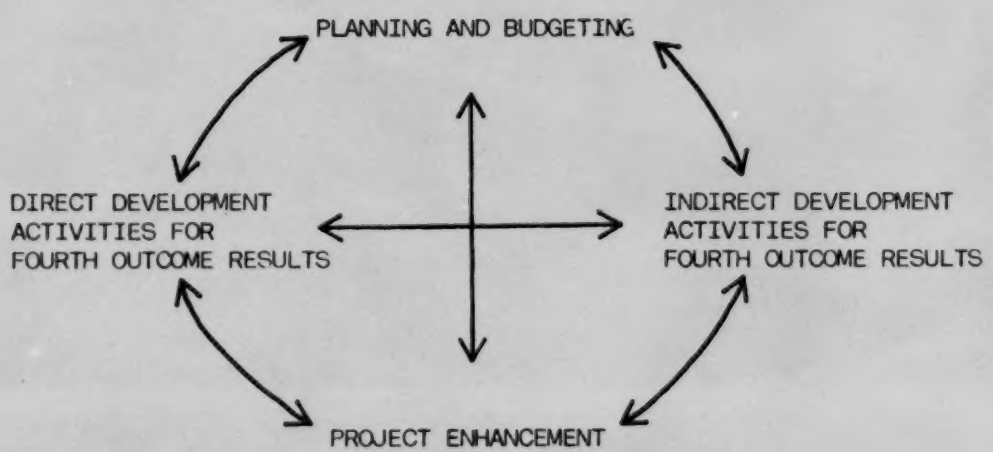
This review should be brief; fifteen minutes may be sufficient. But it should be done! The fact that some group has approached you

establishes a positive link between your project and that group. List all the names of groups contacting your project on your Audience Priority Review List, and then rate each one like any other group.

AUDIENCE PRIORITY REVIEW FORM

AUDIENCE	BROADENING THE HORIZON (Why Chosen)				NARROWING THE FOCUS (Priority Rating Sub-Score)							
	Service Logic	Existing Links	Geographic Proximity	Other	Possible Fourth Out. Results 1-5	Prior Commitments 1-3	Fit with Proj. Style 1-3	Economics 1-5	Decision Making 1-5	Linkages 1-3	Other Advantages	Final Audience Priority 1-5

AUDIENCE INTERACTION TO ACHIEVE FOURTH OUTCOME RESULTS


PLANNING AND BUDGETING
DIRECT DEVELOPMENT ACTIVITIES FOR FOURTH OUTCOME RESULTS
INDIRECT DEVELOPMENT ACTIVITIES FOR FOURTH OUTCOME RESULTS
PROJECT ENHANCEMENT

Chapter Three

AUDIENCE INTERACTION TO ACHIEVE FOURTH OUTCOME RESULTS

This chapter has four sections. Section A presents background materials about the stages that can be expected in Fourth Outcome work, and a topology of decision-making forms commonly found in educational institutions.

Section B describes a system that can be used for planning and progress reporting of Fourth Outcome results.

Section C presents ideas about undertaking activities that are indirectly related to the achievement of Fourth Outcome results, and explains how and why the indirect must be controlled by the plan developed in Section B.

Section D presents several ideas about how Fourth Outcome audience interaction can provide immediate and direct benefits to the Teacher Corps project and personnel.

This chapter assumes that you have either completed the exercises in Chapters One and Two, or have ideas about:

-- what Fourth Outcome results you wish to accomplish

-- what audiences you want to work with.

A. BACKGROUND CONCEPTS

Working with audiences outside your project and institution, to help them adopt ideas, products, processes, etc. from your program, is by definition, a delicate process because you are operating across

institutional lines strictly from a position of persuasion. You cannot force or command Fourth Outcome audiences to listen to you, much less to decide to adopt something from your project.

To help you understand and work through your own Fourth Outcome operations, we will describe the influence or persuasion process from two perspectives:

-- stages that other Teacher Corps projects have described as common to Fourth Outcome operations;

-- decision-making processes frequently found in education.

1. Stages

Five concepts are used to describe the process from first concern to full adoption and evaluation: awareness, interest, stepwise development, ownership and adoption, follow-up and evaluation.

a. Awareness

This is a simple but important concept. To be aware of something is to know that it exists, but to have no direct interest in it. But awareness sets the stage for interest. And awareness that has seasoned (lasted over time) establishes a solid base for action. Awareness is a good linkage.

Awareness should be the goal of your indirect development activities to be discussed later in this chapter.

b. Interest

This is the second stage. It can happen because some group has needs you can fulfill, or it can result from professional curiousity. ("We wondered just how you were doing with your new training program.") Interest should always elicit a reaction from your project. See

Chapter Two for ideas on how to make sure interested groups are not lost.

c. Step-wise Development

It is theoretically possible for some high school principal to come to your project with his business education teachers, look at the program you have developed for teaching typing on the TRS 80, and say, "We want ten copies of that software for next September." It is possible, but rare.

The movement from interest to ownership and adoption normally proceeds in a piece-meal fashion. First would come a visit by the business education teacher, followed by a visit from the department chairperson who borrows the cassette for a limited period of time. Perhaps the teacher then experiments with the typing-tutor package on a select group of students (without charge). The chairperson might then authorize a semester of experimentation and modification. Finally after 18 to 24 months, the school might adopt the program as its own.

When you plan your calendar of events leading to Fourth Outcome results, be ready to adjust the dates frequently. The path from interest to adoption can take many detours.

d. Ownership and Adoption

The two words describe two dimensions of threshold that mark the turning point from "working with a Teacher Corps project" to "our program, based on work by the Teacher Corps project." The term "ownership" highlights the fact that you cannot give away an educational idea, product, or process in the same way that a seller

deeds a piece of property to a buyer. In this instance, the buyer must "take" the product. Until the audience takes the program as its own, you are still selling. Attempts to "deed" (give) them your demonstrable element will meet with frustration and failure.

The term "adoption" means the operationalizing of a demonstrable element in a new setting by new people. Until the other agency operationalizes the program, you are still in the persuasion stage.

Sometimes identifying the point in time when ownership/adoption occurred is difficult. There is a gradual movement that involves talking, trying, doing, talking, working, talking, thinking, etc. that seems to continue indefinitely until one day you recognize that somewhere along the line ownership was taken.

e. Follow-Up and Evaluation

This phase is discussed in more detail in Chapter Four, but a few comments will help now. Even after the point where ownership has been established, it will be necessary for you to maintain contact. The first reason is to properly document the Fourth Outcome result for Teacher Corps Washington. The second reason is that Nation Diffusion Network research supports the thesis that adoption has a better chance to come to maturity if it is supported by the demonstration institution. So plan time and resources for follow-up with every group with whom you are working to achieve Fourth Outcome results.

2. Decision-Making

Educational decision-making is, at best, a cumbersome process and

, at worst, a maddening experience. Having some knowledge of the process will help you reduce your anxiety quotient and target your activities more efficiently. We will discuss two dimensions: the actors and the process.

a. The Actors

There are two kinds of actors involved in decision-making: those who do the legwork and research the information; and those who exercise the actual decision-making power. The power people may or may not use the information of the legwork persons in their actual decision, but you usually have to deal with both groups; expecting the legwork people to make a decision; failing to establish direct contact with the power people.

b. The Process

The process of decision-making is different for each institution or agency with whom you work, but a topology of different patterns of decision-making will help you understand the kind of decision-making process you encounter, and give you direction on how to proceed. If you are interested in the issue of decision-making, there are a number of management authors worth reading (starting with Rensis Likert, including Blake and Mouton, continuing through the MBO movement that developed detailed theories; also, Harvard Business Review).

Consider five types of decision-making: simple authoritarian, modern business system, fiefdom; collegial, and full consensus.

1. Simple Authoritarian

This can take two forms: the dictator who makes all the

decisions and shows little interest in bringing anyone else along; or the charismatic leader who really does all the decision-making, but is able to bring others along through his/her dynamic (overbearing?) leadership qualities.

This system is found even in large educational institutions. Where it is operable, most of the final decision are made by one or two people. To get anything accomplished, you must convince the key individuals who actually make the decisions that what you want is in their best interest.

It is sometimes difficult to gain direct access to these key decision-makers. But the effort is worthwhile, for unless you do gain access, you exercise little influence on the decision, and the chances for a later reversal are high.

2. Modern Business System

This system is characterized by a conscious effort to delegate both authority and responsibility to the lowest level in the hierarchy. It usually has written procedures for decision-making operations that detail who decides what.

The modern business system is easy to work with because it has clearly defined procedures and you know where you stand at each step in the process. As rational and efficient as this system appears on paper, you will rarely find it in full operation at an educational institution. The modern business system frequently masks one of the other forms of decision-making.

3. Fiefdom

A common educational decision-making format is the fiefdom

system. In this approach, each manager (department chairperson, college dean, specific professor, individual teacher) has the power to do whatever he or she wants with certain budgeted monies, so long as he or she does not trod on someone else's "turf." Fiefdom power grows at institutions with weak administrators, or where administrators remain in the job for only a short time. Decisions are relatively easy to obtain in this system if you can persuade the "Lord of the Purse" to do what you need done, and there are no territorial boundaries crossed by your operation.

4. Collegial

This is the traditional educational decision-making format. Another name for it is "decision by committee." The theory in operation is that all professionals ought to participate in each decision, since each member has specialized expertise that will help the group reach a better decision.

Decision by committee can be slow, and is usually subject to veto by any one member. To get a decision from this kind of group it is necessary to muster enough support from the informal leaders of the group to get "yes" votes, and at the same time avoid alienating any one of the group who would exercise his/her veto power to stop the decision.

5. Consensus

This form of decision-making came to full bloom in the sixties. It strives to have everyone agree to every decision made. In small operations it sometimes works amazingly well. In larger institutions, it generates endless meetings that go nowhere, or becomes a mask for

an authoritarian or fiefdom system.

Consensus decision-making is a highly political process; you must do intense grass-roots work to get decisions made. It is not to be misunderstood as a simplistic agreement by all to everything. A high level of communications skills are an important ingredient in consensus decision-making. A group characterized as having a majority of participants as skilled in listening as speaking may probably most easily approach viable decision-making through concensus. It is vital that this approach not be seen as primarily a tool for those less familiar with the use of various measurement instruments. Though such groups may feel comfortable with this process, there are doubtless instances when any number of projects might effectively make decisions by consensus.

B. DIRECT DEVELOPMENT OF FOURTH OUTCOME RESULTS

This section has two divisions:

1. Starting with Results -- a review of the difference between activities and results, and a framework for critiquing Fourth Outcome results objectives.

2. Planning and Progress Reporting -- an activity planning and review scheme for achieving Fourth Outcome results and for listing what you are going to do, by when, with what resources, to achieve specific results.

There is a work form at the end of each section.

1. Starting with Results

Projects often mistake activities and products for Fourth Outcome results. For example:

-- The university staff will hold three in-service training sessions for five non-project schools on how to provide individualized mathematics instruction in a self-contained classroom.

-- 500 manuals for teaching music in the sixth grade, will be published.

-- The new TRS 80 mathematics instruction programs will be demonstrated at the annual convention of the National Association of Elementary Education.

-- 25 middle schools who are interested in our "Principal at the Middle School" will be identified.

None of the above are Fourth Outcome results:

-- Visits to our town high school confirmed that five teachers implemented individualized mathematics programs in self-contained classrooms as a result of our sharing our program ideas with them.

-- It is evident from sales receipts and follow-up visits that 25 schools are using our MELODY MANUALS in their sixth grade music classes.

-- Six school districts have stated that they revised our "Principal at the Middle School" program and presented it to their principals last year.

The common characteristics of all these examples and other Fourth Outcome results are:

* A group outside our project did something new.

* The decision to do something new was intentionally caused by interaction between our Teacher Corps project and the institution outside Teacher Corp.

* There is available evidence to Teacher Corps that "proves" that there has been a change, and the change is related to Teacher Corps activities.

* What the other agency did is modeled or based on what was learned in the Teacher Corps program; there was a "demonstrable element."

These are the four tests that all Fourth Outcome objective statements must pass. Failure to pass usually means you do not have a legitimate Fourth Outcome result. Keep revising your objectives until you get a "results" statement that meets the standard.

2. Planning and Progress Reporting

There are two dimensions to the planning scheme we are presenting: a) objectives planning and progress reporting; b) activities planning, budgeting, and progress reporting.

a. Objectives Planning and Progress Reporting

In addition to getting the results properly formulated, we recommend four further steps: define success measures; declare start and completion dates; report progress yearly; assign responsibility.

1) Success Measures

Most Fourth Outcome result statements also define success. But there are some instances where it is not clear when the result has been achieved. Here are some examples of result statements where success measures need to be added:

-- The Education Department of University of My State will adopt our project decision-making procedure to evaluate requests for teacher in-service training.

-- Our Town High School will adopt our basic approach to individualized instruction in all freshmen classes.

The success measures for these two result objectives might be:

-- When the Education Department formally adopts our decision-making procedure at one of their meetings, and that decision is recorded in the department's meeting minutes, we will have achieved our Fourth Outcome objective.

-- When six of the ten teachers are observed and judged by our team as actually using our individualized program, we will have achieved our Fourth Outcome objective.

Making such a distinction between objectives and success measures avoids the pitfall of equating a good objective with an observable phenomenon. Many a worthwhile objective has been converted into educational garbage when this distinction was not made, as the literature on MBO can readily attest.

You are strongly urged to review each of your Fourth Outcome result objectives to see if you should add "success measures." You can use our form to record each measure.

2) Start and Completion Dates

It is sensible to plan "start and completion dates." But it is equally sensible to recognize that you will revise these dates. On our form, we have allowed for four such revisions.

3) Yearly Progress Report

For objectives that take more than a year to achieve, we recommend that you periodically (at least once a year) estimate how far you have advanced toward the desired result. Our suggestion is that you note this progress in percent (%) complete. Granted, this may be more a guess than an estimate, but it is still a valuable exercise. Our form provides for a yearly "%Complete" report.

4) Responsibilities

Jobs are more likely to be finished on time if the immediately responsible individual knows that he or she carries the ultimate burden for the accomplishment. We recommend that you list who has the immediate responsibility for achieving each Fourth Outcome result; we have provided a space for this on our Fourth Outcome Objectives, Success Measures, and Responsibilities Planning and Progress Reporting Form.

b. <u>Activities</u> Planning, Budgeting, and Progress Reporting

There are elaborate systems flow-charting schemes for detailing the activities and events that lead to an objective. These plans

(PERT, CPM, Precedence Networks) have generated a logic and life all their own. Our recommendation is that you keep your activity schedule simple and easy to revise.

A form that allows you to document activities, relate them to calendar dates and budget, and easily record progress is provided.

1) Activities

Your activity statements should describe a series of actions that you will attempt, in order to accomplish the objective. Avoid the trivial. List only key things that definitely need to get done.

2) Start and Completion Dates

Each activity should have a start and completion date. Our form divides the current year into months, the second year into quarters, and the third year into semi-annual segments. We also provide three lines for start and completion dates, knowing that time frames will need to be modified.

3) Budget

Most institutional and Teacher Corps project budgets are constructed in a line-item format. Our approach to planning is to relate the budget information directly to the activity schedule so that you can see where your resources are being spent, and identifying which activities need additional resources.

It is recommended that you use line-item category numbers whenever possible. You can also use job descriptions, names, or other definitions. The advantage of picking up the budget line-item is that you have a direct relation to a dollar amount.

List all the personnel, equipment, and material categories from your project, and from sources outside your project, that are contributing to your operation, in the category slots across the top of the form. You may need to expand the form with additional spaces.

Once you have all the resources listed, you then need to decide which resources are used to accomplish each activity. We recommend that you begin with an uncomplicated system. Put an "X" wherever a resource is being tapped. If you want to go further, you can quantify how much of the total resource will go to accomplish each activity. If you computerize the form, you can calculate exact dollar amounts. For hand-generated forms, we suggest the following scale:

A = activity uses very little of this resource

B = activity uses a fair amount of this resource

C = activity uses a great deal of this resource

C. INDIRECT DEVELOPMENT

In addition to your project activities that are directly related to the achievement of Fourth Outcome results, there is a need to undertake other endeavors that cannot be directly linked to any result. These "image building," "selective PR," or "market testing" activities can have significant impact on your objectives.

For example, a presentation at the National AERA convention can sometimes be just what you need to get the go-ahead from a principal to adopt one of your demonstrable elements, or it might attract some other resources you need to get the job done. These indirect development activities are discussed from three perspectives: focusing your

efforts; suggested avenues and general approach; and planning and budgeting.

1. Focusing Your Efforts

Keep in mind that the primary objective of the indirect development activities is to achieve Fourth Outcome results. The first step will be to review the evaluation forms found in Chapters One and Two. (If you have not formally evaluated the results and audiences, you can still perform the following operations in a less formal manner.) From these two forms you can define which audiences you most want to influence. The questions is, "How?"

2. Suggested Avenues and General Approach

There are a number of image-building and public relations activities available. Here are a few:

* Teacher Corps program presentations
* Professional organization presentations
* In-service work
* Federal readers
* ERIC publications

Select your activities wisely, with three goals in mind:

a) Increased esteem for your project.

b) Increased professional status for each of your staff.

c) Greater appreciation of how you can help audiences you want to impress.

3. Planning and Budgeting

Indirect development activities use up resources, so we recom-

mend you use the enclosed planning forms for direct activity planning and budgeting, to organize your indirect development work. If you use the forms honestly, you will be able to quickly gauge which activities are the most worthwhile.

D. PROJECT ENHANCEMENT FROM FOURTH OUTCOME ACTIVITIES

This chapter is entitled, "Audience Interaction" to highlight the fact that Fourth Outcome activities are essentially sharing activities. In this section, you are asked to use the sharing to support and improve project operations for the first three outcomes.

There are three topics to discuss: creating a true dialog; capturing resources through Fourth Outcome operations; and personnel development.

1. Creating a True Dialog

Fourth Outcome audiences are, like yourselves, professionals. As such, they react with informed responses to whatever you offer. If you, in turn, respond by synthesizing your initial idea with their reaction, you have a fruitful dialog (and dialectic) going. If you ignore the reaction or reject it, you stifle the conversation, deprive yourself of the professional insights offered, and lower the probability of achieving Fourth Outcome results.

2. Capturing Resources Through Fourth Outcome Operations

There are four possible resources that can be gleaned from Fourth Outcome audiences: ideas; professional skills; in-kind or cash contributions; Third and Four Outcome synergism.

a. Ideas

Useful ideas will result from the dialog. It is critical to capture these ideas and put them to use. How formal you choose to be in this operation depends on your project. We provide a form for use in recording ideas as they originate.

b. Professional Skills

Teachers, professors, and administrators who make good Fourth Outcome audiences possess skills that your project can use. Again, it becomes a matter of tapping these resources. Forms and procedures are not the answer in this case.

Attitude is critical. You must be constantly aware of what Fourth Outcome audiences can do for the project, and then attempt to attract the talented people with whom you come into contact.

c. In-Kind or Cash Contributions

Most teachers and professors develop contacts for in-kind and cash contributions. That type of development may have led to your current grants. Each new Fourth Outcome audience (because they are, by definition, outside the perimeter of your project) brings with it a potential for new contacts.

Many institutions develop special expertise, skills, and equipment that, once the initial high use period has passed, become underutilized. Those resources may be what you need. You can find them if you are constantly looking.

d. Third and Fourth Outcome Synergism

Successful Fourth Outcome results can have a salutary effect on

Third Outcome (institutionalization) efforts. Praise and recognition from extra-institutional sources raises the intra-institutional status of programs. The full effects of this synergism can be missed unless you publicize your Fourth Outcome successes to your Third Outcome audiences.

3. Personnel Development

A position in a Teacher Corps project is, by definition, finite in length. It must be a stepping stone to some other job. Every member of the team must think not only of his or her present occupation, but also of what comes next.

The Fourth Outcome activities present excellent opportunities for Teacher Corps staff to:

* gain insights into problem-solving in their fields, from ongoing interaction with extra-institutional contacts;
* develop job skills and contact-making skills;
* create linkages that are useful to the creation of Fourth Outcome results, and to placing Teacher Corps personnel once the program has reached the terminal stage.

Fourth Outcome activities are extremely useful for staff personal growth, and open up opportunities for personnel to achieve self realization.

FOURTH OUTCOME ACTIVITY PLANNING, BUDGETING, AND PROGRESS REPORTING FORM

Audiences Involved _____

Objective: _____

Activities for this Objective		FY ____ Current Academic Year O N D J F M A M J J A S	FY ____ Quarters 1 2 3 4	FY ____ ½ Yr. 1 2	Supporting Staff/Other By Budget Categories
	1				
	2				
	3				
	1				
	2				
	3				
	1				
	2				
	3				
	1				
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	3				
	1				
	2				
	3				
	1				
	2				
	3				

1 = Original Plan
2 = Revised Plan
3 = Second Revision

⬠ Intend to Start
⬟ Actually Started

△ Intend to Complete
▲ Actually Completed

FOURTH OUTCOME OBJECTIVES, SUCCESS MEASURES, AND RESPONSIBILITIES PLANNING AND PROGRESS REPORTING FORM

Objective	Success Measures		Start Date	Complete Date	Yr. End % Achieved FY1	FY2	FY3	FY4	FY5	Immediate Responsibility [Names]
		1								
		2								
		3								
		4								
		1								
		2								
		3								
		4								
		1								
		2								
		3								
		4								
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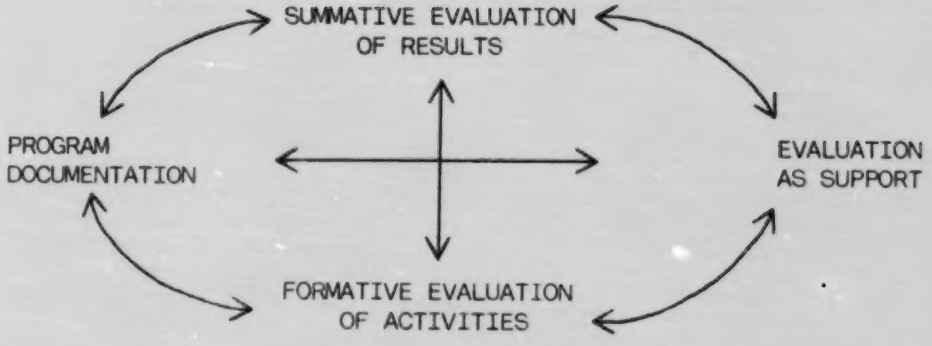
		4								
		1								
		2								
		3								
		4								
		1								
		2								
		3								
		4								

1, 2, 3, 4 = Original and Revised Start/Complete Dates

EVALUATION AND FOLLOW-UP



Chapter Four

EVALUATION AND FOLLOW-UP

This chapter has four sections. Section A is a discussion of how summative evaluation is used to verify Fourth Outcome results. Section B describes the formative evaluation we recommend for your project activities. Part C explains why Fourth Outcome summative and formative evaluation is an ideal base for on-going support for the Fourth Outcome audiences. The final section (D) suggests ways to integrate evaluation information collection into the everyday project information storage system.

A. SUMMATIVE EVALUATION FOR FOURTH OUTCOME RESULTS

Proving that you have achieved Fourth Outcome results is the "bottom line" for your evaluation efforts. You must satisfy Teacher Corps Washington if you do nothing else. We suggest five steps to help achieve this goal:

1) Plan and budget for evaluation from the first day.

2) Articulate your proofs at the start.

3) Make sure that evaluation information is being collected when it is easiest and least expensive to obtain.

4) Add "goal free" evaluation whenever and wherever you can.

5) Prepare your evaluations for decision-making at a timely moment.

1. Planning and Budgeting Evaluation

Evaluations that begin at the end of a program are the most expensive and least satisfying. Information has been lost that cannot be retrieved, collections of available information is expensive, and there is rarely enough money at the end of a project to do a professional job. If you have begun your Teacher Corps project without a clear plan and/or specific budget for Fourth Outcome evaluation, you have a problem.

You plan evaluation work the same way you plan other project operations: begin with the objective and then work out activities to get from here to there. In evaluation, your objectives are "proofs" you want to complete.

You have been urged to identify resources and time schedules needed for Fourth Outcome results, so we now urge you to identify these same items for evaluation. We have provided an Evaluation Planning and Budgeting Progress Reporting Form at the end of this chapter.

2. Articulation of Proofs

Fourth Outcome "result objectives" and Fourth Outcome "success measures" have been defined. In many cases, the Fourth Outcome success measures are equal to a "proof." Our examples from Chapter Three will illustrate.

-- When the Education Department formally adopts our decision making procedure at one of their meetings, and that decision is recorded in the department's meeting minutes, we will have achieved our Fourth Outcome objective.

-- When six of the ten teachers are observed and judged by our team as actually using our individualized program, we will

have achieved our Fourth Outcome objective.

The proof in the first example is a copy of the minutes. The proof in the second example is the documented observation.

In some cases, however, the "proof" may be more elaborate and detailed than "success measures." For examples:

> Fourth Outcome Result: Their Town High School will adopt our "parent suspension" program to replace a "student suspension" program, for reducing the absentee rate of chronic truants.
>
> Fourth Outcome Success Measure: When our staff has documented that, as a result of our work, 80% of the chronic truants are receiving "parent suspension" rather than "student suspension." we will have achieved our Fourth Outcome objective.

The proof comes when the words, "our staff has documented" are operationally defined. In this instance, the Fourth Outcome proof might read:

> Documentation that 80% of the chronic truants are receiving "parent suspension" will be complete when: a) the principal of Their Town High School provides a report listing all chronic truants (defined as students who miss more than one day of class per two weeks) and details how these students were treated; b) the principal sends a letter confirming that our work with their school led to their adopting the successful "parent suspension" program.

In other situations, the proof for the same result and success measure might be:

> Documentation will be complete when: a) our staff has examined the records of all students identified by the school as chronic truants; b) these records document the use of the "parent suspension" program in 80% of the cases; c) Teacher Corps project records document a series of events that demonstrate that our project interaction caused the "parent suspension" program to be initiated.

Item (c) of this proof raises another dimension you need to recognize. For most human activities, proving causality is a difficult and slippery business. There will always remain a gap between the

data and the conclusions. The goal is to narrow this gap as much as possible. How narrow you can ultimately make the gap is determined by:

a) who is requiring the proof;

b) the result to be proven;

c) funds available,

Two good reasons for articulating proofs early are: a) to obtain prior approval from Teacher Corps Washington; b) to control what you promise as proofs by what you can spend.

Two further comments on success measures and proofs. First, design them from the premise that even subjective reports will be basically honest. To refer back to our examples, our recommendation would be to accept the principal's letter (b, in the first proof) as sufficient evidence for project causality, rather than trying to write a history (c, in second proof) that would prove that the Teacher Corps project was the cause of the adoption.

Second, remember that you are only trying to prove that your Fourth Outcome audience has adopted something. You need not prove that the adoption was "successful" for their operation. To use our example, you are only attempting to prove that Their Town High School implemented the parent suspension program. You are not obligated to prove that this program reduced truancy or absence rates.

3. Efficient and Timely Information Collection

Most evaluation information that will be used to support the proof or success measure can be collected at little or no expense <u>if</u> it is captured at the right time, and <u>if</u> the information needs and sources have been identified early. Most evaluation information is

information that the project collects and uses in its day-to-day operation.

For example, if we know ahead of time that we are going to demonstrate that causal links between our project and Their Town High School's use of the parent suspension program, then we can create either a staff daily log form or time card to record all the interactions between our project and Their Town High School. This daily log is a good management tool for daily operations and a valuable source of evaluation data.

In addition to an evaluation activity schedule, we recommend that you prepare an evaluation Information Resource Identification plan. In this plan, you should detail:

a) what information will be collected;

b) how and where information will be collected and stored;

c) the time schedule for collecting the information.

In addition, we suggest that you schedule dates when you will check to determine if the information has been accumulated as planned. Do not wait until the end of the year to find out data has not been collected.

Our Information Collection Planning and Review Form provides a format for accomplishing these three tasks. We recommend you check data collection status monthly. Don't get behind.

4. Add Goal Free Evalution

The Scriven school of evaluation theory maintains that examination of only planned project results frequently underestimates and under-reports the full project impact. We have made the same point

in our discussion of audience project ineteraction earlier.

Teacher Corps projects should constantly review their Fourth Outcome results situation and must capitalize on unexpected as well as planned Fourth Outcome results, so long as they are legitimate Fourth Outcome results (see page 40 for our definition of "legitimate").

There are two significant ways for adding goal free evaluation. The first is that new audience interest causes the project to create a new Fourth Outcome objective, which then results in new proofs and evaluation plans. A second possibility is to identify a legitimate, completed Fourth Outcome result after it is completed. You will then have to develop necessary supporting evidence to document that result.

5. Preparing Timely Evaluations for Decision-Makers

The best time to complete a summative evaluation that proves a Fourth Outcome result is shortly after the result has been achieved. (We define "timely" as "soon.") Enthusiasm is high, data is fresh, and quick reports impress funding agencies.

The format for presenting Fourth Outcome result verification is very important. It should be aimed at decision-makers, not researchers. Begin with a one- or two-page Executive Summary that explains:

* what has been verified
* how it was verified
* what implications the results have for future work

We do not mean to suggest that you leave out important research methodological issues, omit the listing of data that support analyses, or gloss over any analytical steps to reach the conclusion. All of these should be a part of your evaluation. But start the report with information that decision-makers can both understand and use. The

decision-makers will determine the future of Teacher Corps and most other program funding.

B. FORMATIVE EVALUATION OF ACTIVITIES

The summative evaluation was the "bottom line" aimed primarily at satisfying Teacher Corps Washington and funding sources. The formative evaluation of project activities should be aimed at internal managers -- feeding back information in a timely fashion, so the project can pursue fruitful activities, drop ineffective ones, and modify weak operations to make them more effective.

We describe our recommendations under three headings:

1) Formative evalution is early evaluation

2) Various forms of evaluation (yes/no approach; results versus activities; hindsight causal analysis; economic review);

3) Revisions for great efficiency.

1. Formative Evaluation is Early Evaluation

The purpose of activity evaluation is to improve the Fourth Outcome operational efficiency -- to work smarter. So the sooner you can identify problems, choose more effective means, or drop wasteful efforts, the better your chance for increasing efficiency. Our recommendation is that you plan most of your formative evaluation activities very early -- before you spend 50 percent of your budget on a given set of Fourth Outcome activities.

2. Forms of Evaluation

Four approaches for formative activity evaluation that can be used with the materials recommended in Chapters Two and Three (or from any other documented objectives/activities management system):

a) yes/no approach; b) results vs. activities are discussed; c) hindsight causal analysis; d) economic review.

a) Yes/No Approach

One of the advantages to planning on paper, with activity statements punctuated by start and completion dates, is that you can use a binary approach to review progress. You can go down the list of activities asking two questions:

-- Did they start on time?

-- Were they completed on time?

If you critique all your activity schedules, marking start and completion dates with a simple "yes" or "no," you will quickly spot the problems.

b) Results Vs. Activities -- Percent Complete Comparisons

A second way to evaluate activities is to compare the percent (number) of activities completed with your periodic estimates of percent complete on your Fourth Outcome Objectives Planning Progress forms (page). What you want to determine from this cross checking is whether the completion of activities is achieving the results you want. If you have completed 90 percent (say nine out of ten) of your activities, but think your progress toward your objective is only 50 percent completed, you can bet you have a problem.

c) Hindsight Causal Analysis

Hindsight causal analysis is an attempt to compare results-to-date with activities and resources used to determine, as best you can, which activities most contributed to the desired results. It is a subjective, but potentially fruitful, exercise that is probably

best accomplished in a group setting, where individual biases can be balanced, and gaps in knowledge can be filled.

Questions that aid in this analysis include:

-- Which activities got the job done?

-- Which activities were clearly ineffective?

-- Which activities were of questionable effectiveness?

Another way to proceed is to start with a Fourth Outcome success (result achieved) and work backwards through the sequence of events that led to the success. When you are doing this analysis, be careful not to limit your discovery horizon. Forget about how your proposal or planning documents said you were going to get the job done. Tell the true story of what actually happened.

Once you have the sequence of events leading to your success outlined on paper or a chalkboard, ask the following questions:

-- Were there certain strengths in our project that contributed heavily to the whole process (e.g., persons, contacts, linkages, resources)?

-- Were there any surprises (e.g., things occurring in a way that we would not have anticipated)?

-- How close did reality match our plans?

-- What changes should we make in other activity plans to take advantage of what we have learned?

d) Economic Review

One useful measure of efficiency is the ratio between resources and results. Resources include: project dollars, local fund dollars, in-kind contributions, gratis equipment or materials, computer time, etc. Our Activity Forms in Chapter Three related resources to each activity. If you have no way of expressing this relation you will not be able to do any extensive economic evaluation. If you do have

resources budgeted to activities, we recommend that you ask three questions:

-- Did the intended results merit the investment?

-- Have we lived within our program budget for each activity? Which ones have run over budget? Which under?

-- Are we making the best use of the limited resources we have?

C. SUMMATIVE AND FORMATIVE EVALUATION ACTIVITIES AS BASIS FOR CONSTRUCTIVE FOLLOW-UP SUPPORT

The interaction between your project and the various Fourth Outcome audiences necessary to prepare your summative evaluation reports establishes the proper healthy (and useful) relationship between the project and the Fourth Outcome audience. It allows you to continue close contact, not as a possessive parent holding on to your child, but rather as an outside evaluator trying to prove that the institution has successfully initiated its own new program. In this role, you will be able to offer numerous helpful insights, answer questions, and even give direct service as effective outside formative evaluation teams regularly do, without threatening the autonomy of the new program.

You may wish to prolong the "post-adoption" interaction even after you have completed your Fourth Outcome result proof, because this on-going work will increase the probability of a long life for the newly adopted program.

You can carry on this contact by:

a) presenting the first three outcome results to the Fourth Outcome audiences;

b) using the adopted program to stimulate improvements in your own project.

D. INTEGRATING EVALUATION INFORMATION COLLECTION WITH PROJECT OPERATIONS

The information collection for summative evaluation of results and formative evaluation of activities should be tied as closely as possible into the program transactional information collection. If you use the suggested forms in Chapters Two and Three for operational planning and review, you will find that much of the evaluation information is readily available.

In addition to these forms, your project no doubt has:

-- time sheets for personnel,

-- budget requisitions/purchase orders,

-- documentation of operations related to the first three outcomes,

-- line-item budgets,

-- proposals,

-- government status reports,

-- internal memos,

-- letters,

-- visitor books,

-- articles written about and by the project staff,

-- Teacher Corps Washington documents,

-- project log.

All of these documents are rich sources of data to support proof that you have achieved specific Fourth Outcome results. But to make good use of this immense amount of information, you must do two things:

1) structure the forms and data collection to capture evaluation data as well as transactional information;

2) establish a filing system that will allow you to retrieve, use, and analyze the information when you need it for evaluation.

An example of structuring the forms would be the use of a consultant- or lawyer-type time card, versus the more traditional sign-in/out sheet. Instead of simply documenting the hours for payroll, the form reports how hours were spent on specific project operations. A possible format is presented at the end of this chapter. Budgets can also be modified to include program, as well as line-item, information.

An example of a system to store information for easy retrieval at evaluation time is a system similar to the standard library card catalog. Just as the three-part index (subject, author, title) allows a person to search from any one of three perspectives, your project can reference all filed information according to a list of Fourth Outcome results or objectives. All the information for any one result can be traced, via the cards, to the transactional storage point.

If your project is tied into a student or client ADP data base, or has access to such a base, we recommend that you closely examine the data base to determine:

a) what the data base can collect;

b) what data is actually being collected;

c) what reports can be generated;

d) what reports are actually generated.

You will frequently find that someone else is already collecting (and sometimes analyzing) what you need. That is a gratis service you cannot afford to overlook.

EVALUATION PLANNING AND BUDGETING PROGRESS REPORT FORM

Result/Objective:

Success Measure:

Proof Statement:

ACTIVITY SCHEDULE

Name of Activity	Start Date	Complete Date	Resources Budgeted

INFORMATION COLLECTION PLANNING AND REVIEW FORM

136

Information Collected	How/Where Information Stored	Collection Schedule		Information Collected on Schedule Yes/No
		Start Date	Complete Date	

TEACHER CORPS WEEKLY ACTIVITY AND TIME RECORD

137

Name

From _____ to _____
(Week)

Date	Activity	Hours	Description of Other Expenses	Amount

Important Events: _____

168

Signature

169

SELECTED ANNOTATED BIBLIOGRAPHY

Introduction

The purpose of this bibliography is to provide access to specific kinds of literature which could aid Teacher Corps personnel in achieving the Fourth Outcome of the Teacher Corps regulations.

Neither the identification nor the selection of items for this bibliography was easy. The relevant language of the Teacher Corps regulations is "The adoption or adaptation (of educational improvements developed in Teacher Corps projects) by other educational agencies." As an outcome for each individual Teacher Corps project, this statement requires unusual understanding and action. To accomplish the outcome, a local project's staff must have a good operating understanding of the process of educational change in a variety of types of organizations. In addition, there are a number of specialized tasks which projects should undertake, none of which is exhaustively described in the literature: e.g. identifying potential audiences, identifying possible "demonstrable elements" in the project, using a variety of personnel and media in sharing and promoting the use of the elements, networking for greater project impact, and training and technical assistance to groups that have decided to adapt project elements. Each of these issues has a wide variety of correlates in the literature, yet there is no single source (except for recent

materials developed directly for Teacher Corps) which speaks directly to the situation of Teacher Corps projects.

The first section of this bibliography describes documents developed within a Teacher Corps, and also includes references to documents coming from other federal agencies. The second section reviews key reports related to the process of educational change in general, and to some of the basic concepts of diffusion, knowledge utilization, and program implementation.

The final section is composed of items which provide insights on the various processes which the Consortium has identified as necessary to an effective plan to achieve the Fourth Outcome

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Many hands contributed to the development of this bibliography. In the early days of the Consortium, Paul V. Collins, G. Thomas Fox, and Matthew Miles provide a number of valuable leads. Dr. Fox, in particular, has continued, through his own bibliographic work on related issues, to supply fascinating items. Robert Slater carried out a number of ERIC searches and made an initial selection of these items for an earlier draft. Beryl Nelson made valuable criticisms and suggestions. Stephen Andrews developed the basic versions presented. Finally, we should acknowledge the importance of those who contribute regularly to the ERIC system, both producers of documents and those that code and abstract them. Where we have used portions of the text of an ERIC abstract, we have left in the acknowledgement which identified the source of the abstract, as well as the ERIC identification number.

1.0 MATERIALS FROM FEDERAL SOURCES

1.1 Teacher Corps Analyses

1.1.1

Acheson, Keith A. (ed.). Five Dimensions of Demonstration. University of Oklahoma: Teacher Corps Research Adaptation Cluster, 1977.

This book is for directors and staffs of funded federal projects, especially Teacher Corps, who have a need to plan and implement a demonstration component. It contains discussions of six concepts and processes which stem directly from the federal commitment to "demonstrate". Demonstration is defined as an unbrella, concept which includes five other subconcepts: development, description, documentation, dissemination and diffusion. The work has five major parts, one for each of the five components of demonstration. Each section has introductory material and operational examples based on Teacher Corps practice.

1.1.2

Andrews, Stephen T. Adoption, Adaptation, and Educational Improvement: A Study of Research and Policy Related to Sharing and Utilization of Field-Based Findings. Chicago: Center for New Schools, 1979.

This work, designed to analyze the general issues in the literature which is relevant to Teacher Corps Fourth Outcome Policy, reviews general studies of demonstration in the federal context; examines in detail two major studies of school improvement through federal funds, highlighting the major assumptions of each and their similarities and differences; and proposes a model of demonstration which addresses the unsolved problems of models previously utilized. This model or paradigm is practice centered and focuses attention on the processes by which teachers and other direct actors in the educational world go about improving education in their own spheres of influence.

1.1.3

_____. "The Informal Literature." Chicago: Center for New Schools, 1980.

This excerpt from a larger study of Teacher Corps Policy and practice, reviews a number of the items in this section of the bibliography, including Acheson (ed.), various papers by Fox, the Task Force report by Morris, et.al., and Carey, et.al.

1.1.4

Andrews, Stephen T. "The Official Framework." Chicago: Center for New Schools, 1980.

Another section of the larger study mentioned above, this excerpt reviews the Teacher Corps legislation and 1978 regulations to seek a consistent interpretation of the Fourth Outcome as an operational correlate of the concept of demonstration, concluding with an identification of four potential problem-issues.

1.1.5

Eckenrod, James S. and Hering, Suzanne. Design for Field Testing a National Dissemination and Validation System for Teacher Corps Products and Practices. San Francisco, Far West Laboratory for Educational Research and Development, 1979.

This report of a Teacher Corps contractor suggests the range of strategies that are appropriate for creating internal dissemination mechanisms among Teacher Corps projects and for linking Teacher Corps projects with existing dissemination systems - including federal, state, and other mechanisms. The introductory section gives an overview of the systems proposed; this is followed by a set of "Guidelines" aimed at Teacher Corps project personnel.

1.1.6.

Fox, G. Thomas. "Determining a Teacher Corps Policy on Demonstration." Madison, Wisconsin: 1977, Mimeographed.

This paper made a significant contribution to Teacher Corps policy on meeting a demonstration mandate based on a review and elaboration of the work of Cheryl Hayes (q.v.), the paper contains significant recommendations.

1.1.7

_____. "Taking Six Words Seriously." Madison, Wisconsin: University of Wisconsin; 1980, Mimeographed.

This most recent of Dr. Fox's papers on the Fourth Outcome and related issues, responds to the need to clarify the intent and professional background of a list of terms which have become increasingly important in Teacher Corps: documenting, evaluating, institutionalizing, adopting/adapting, disseminating, and demonstrating. The method is to review some of the more challenging literature from outside of Teacher Corps to illuminate the tasks faced by local projects in the areas indicated by the six words. Two discussions are of special interest: the strong argument for adaptation as a key outcome, and the clarification of both "dissemination" and "demonstration" as ways of talking about means to this outcome. Valuable summary charts of problem areas and insights.

1.1.8

Morris, Lee A., et.al. Adapting Educational Research: Staff Development Approaches. Norman, Oklahoma: Teacher Corps Research Adaptation Cluster, 1979.

An exploration, in the Teacher Corps context, of the meaning of "adaptation" as discussed by Fox in "Taking Six Words Seriously." The main body of the text is a series of presentations by Teacher Corps practitioners about efforts during Cycles 10, 11, and 12 to utilize and adapt research in their own settings. Overview papers by Morris, Sather, and Pine, and by Richey, suggest the range of issues and methods which have become useful in the development of these projects.

1.1.9

_____. "Documenting, Institutionalizing, and Disseminating Demonstration Outcomes: Report of the Task Force on Demonstration" in Teacher Corps Task Forces, Document 1, Omaha, Developmental Training Activities, 1977, pp. 21-44.

Despite the fact that the use of terminology in this document is inconsistent with some later analyses (Andrews, Fox, 1980) document is a valuable exploration of key issues, such as the nature of potential demonstrable elements in Teacher Corps, the range of audiences matrixed against the four levels of dissemination in the definition of the Dissemination Analysis Group (q.v.), quality control, and cost-effectiveness.

1.1.10

Teacher Corps Demonstration Consortium. Orientation Package, Chicago: Center for New Schools, 1979, aimed at local Teacher Corps Projects.

This package, contains an introduction by James Steffenson, an introductory briefing paper on "planning for demonstration," two excerpts from significant literators (Fox and Hayes) and a brief annotated bibliography.

1.1.11

_____. "Demonstration in Local Teacher Corps Projects: Purposes and Examples." Chicago: Center for New Schools, 1979.

A summary outline of five distinct purposes for Teacher Corps demonstration, starting with those identified by Fox and Hayes (Policy formulation, Policy implementation, and Staff Adaptation) and including two others: Consciousness Raising and Knowledge Development. Definitions, relevance, benefits, and appropriate strategies are suggested.

2.0 GENERAL WORKS

2.1

Bailey, Stephen K. et.al. "Significant Educational Research and Innovation: Their Potential Contribution to Experimental Schools Design. A report to the Experimental Schools Program." Syracuse University Research Corporation, New York Policy Institute, February 1972.

The Policy Institute has explored the contributions that tested educational research might make to actual school and classroom practice within the context of the Experimental Schools Program's planning. The Policy Institute set itself three tasks--to construct a "research-readiness" spectrum, a "criteria-of-importance" typology, and a "host-readiness" synopsis. The method included commissioning two independent papers, conducting interviews, and searching the literature. What emerged was a reexamination of assumptions about the innovative process. The major outcome of this discussion is a set of questions intended to be used by an evaluator as a means of focusing his judgement of the suitability of potential experimental schools grant recipients. Numerous appendixes are included. (Author/IRT) (ED116282)

2.2

Berman, Paul, et.al. Federal Programs Supporting Educational Change. Santa Monica, CA: RAND Corporation, 1974-1978.

A massive federally-supported study of the process of change in schools attendant upon acquiring federal grants in four different education programs: Innovative Projects (now Title IVC, ESEA) Bilingual Education, Career Education, and Right-to-Read. Using a combination of questionnaire research and brief case study visits, the project sought to analyze the factors in government policy and in local implementation strategy which affect breadth, intensity, and duration of project effectiveness in each of the programs. The results are presented in a series of 12 separate documents, as follows:

Volume I: A Model of Educational Change based on the literature (1974).
Volume II: Factors Affecting Change Agent Projects the results of surveys of 293 projects. (1975)

Volume III: The Process of Change Results of the case study visits (1975).
Appendix A: Case Studies of Innovative Projects
Appendix B: Case Studies of Right-to-Read Projects
Appendix C: Case Studies of Bilingual Education Projects
Appendix D: Case Studies of Career Education Projects

Volume IV: The Findings in Review a synthesis of the results of the previous volumes and the first phase of the research (1975).

Volume V: Executive Summary Review of Volume IV for general audiences.

Volume VI: Implementing and Sustaining Title VII Bilingual Projects Reviews what happened in the transition to categorical funding for Bilingual education.

Volume VII: Factors Affecting Implementation and Continuation presents the results of a follow-up survey of 100 innovative projects grantees to determine the requirements for ensuring lasting impact of projects on school settings (1977).

Volume VIII: Implementing and Sustaining Innovations is a final summary of the project with recommendations for general federal strategies to promote innovation in school practice - this is the most valuable volume for the Teacher Corps reader, since it includes the full spectrum of requirements of a Teacher Corps project.

The relevance of this project for Teacher Corps fourth outcome policy and practice is discussed at length in Andrews, (1.1.2) Section III.

2.3

Carlson, Richard, et.al. The Diffusion of Educational Innovation: Recommendations for Policy Makers and Administrators. Boulder, Colorado: Social Science Education Consortium, Inc., 1975.

This document is one of two publications that resulted from the national seminar on the diffusion of New Instructional Materials and Practices held at the Wingspread Conference Center in Racine, Wisconsin in June 1973. It is written for and recommends diffusion methods to those who control the resources that are used to diffuse and implement educational innovation--school building and district administrators and policy makers, persons in state department of education, and officials in federal agencies supporting education. The paper consists of a set of 24 generalizations about dissemination of innovation and examples of how these generalizations can be applied. They are grouped into four categories: educational products, adopting systems, processes of development, and dissemination. For instance, one generalization about adopting systems is "school districts and schools that place a high value on evaluation are more likely to adopt new products." In most cases, examples of a generalization are cited for each level of policy making--building, district, state, and national. (Author/ND) (ED115578)

2.4

Coulson, John M. "Theoretical Antecedents of the Knowledge Dissemination and Utilization Tradition." Viewpoints in Teaching and Learning, 54, 2, 39-56, April 1978.

Conceptual background of current knowledge dissemination and utilization strategies are sketched in terms of three value orientations and four models of innovation diffusion. Future diffusion strategies in education are seen to be active and participative, building local capacities to find, review, adapt, and adopt locally relevant educational innovation. (Author/MJB) (EJ187712)

2.5

Emrick, John, et.al. Evaluation of the National Diffusion Network. Polo Alto, California, SRI International, 1978.

A large-scale evaluation study, involving survey and site-visits, which examines in detail the factors associated with successful "adoptions" of products approved by the Joint Dissemination Review Panel and promoted by the NDN's dual system (state facilitators and Developer/Demonstrators). Several types of factors are combined, including the nature and scope of the innovation being adapted, the specific actions of staff funded through the NDN, characteristics of adopting school districts, and characteristics of the adoption process. The conclusions of this analysis are reviewed in Andrews (1.1.2) and in the synthesis paper by Emrick and Peterson (2.6 following).

2.6

Emrick, John A. and Susan M. Peterson. "A Synthesis of Findings Across Five Recent Studies of Educational Dissemination and Change," San Francisco, California: Far West Laboratory, 1978.

This paper is directed toward those involved in research on the improvement of education, those involved in designing and carrying out programs to assist in the spread of such knowledge and improvement-oriented change, and those who make policy or allocate resources to facilitate this knowledge production/utilization process. It is a synthesis and overview of five recent major studies of educational dissemination and change, and a presentation of the implications of these studies for policy making related to federal and state dissemination programs. For each of the five studies, the authors make explicit the assumptions about the prevailing dissemination and change underlying the program, articulate the essential features of the methodology used to study the program, and present the primary and secondary findings of the study. The key conclusions emerging from their synthesis are: (1) some form of personal intermediary or linkage is essential to the dissemination process; and (2) a relatively comprehensive yet flexible external support system is needed to provide crucial materials and inperson utilization process. This is a good overview and simplification of a complex field, and it provides

some guidance for both managers and policy makers involved in educational dissemination.

2.7

Fullan, Michael. "Overview of the Innovative Process and the User" Interchange, V.3, Nos.2-3, 1972, pp. 1-46.

In its time, this article represented a serious break with the tradition of "diffusion of innovation." (See also House.) The commitment to study the process by which change occurs in an educational institution regardless of the origin of that change leads the author to formulate a model which pays special attention to the concerns, capacities, and organizational processes which surround the change process. After a refinement of this model through a review of the literature, Fullan reviews the papers that follow his for complementary insights. Finally, he constructs a series of propositions that suggest how the situation of users must be modified to increase the capacity for valuable change. He argues for smaller units of educational activity and decision-making, involvement by a much broader set of educational constituents, and a realization of the broad impact of pluralism on any definition of what is viable in educational innovation.

2.8

Glaser, Edward M. "Knowledge Transfer and Institutional Change." Professional Psychology, V.4 (November, 1973) pp. 434-444.

Summarizes the basic elements of Glaser's schema for testing the probability of "successful transfer of existing knowledge to a new setting" - in terms of the characteristics of the innovation of new knowledge, the readiness of potential users, the manner and extent of dissemination activities, and the nature of incentives available. A summary chart suggests ways of enhancing the potential for utilization of any research and development activity, from its initial conceptualization to the final "products;" two examples of successful planning for utiiization are briefly described.

2.9

Hall, Gene E. "The Concerns-Based Adoption Model: A Developmental Conceptualization of the Adoption Process with Educational Institutions." Austin, Texas University, Research and Development Center for Teacher Education. Paper presented at the annual meeting of the American Educational Research Association (Chicago, Illinois, April, 1974).

The Concerns-Based Adoption Model (CBAM), a representation of the process by which an educational institution adopts an innovation, views adoption as a developmental process involving complex interaction between an adopting institution, a user system, and a resource system. It is hypothesized that there are different, identifiable stages of concern about, and levels of use of an innovation. The user system's advancement to higher levels of

use and concern is a developmental process. The intervention strategies of the resource systems are aimed at answering the user's concerns, arousing higher concerns, and thereby advancing the level of use of the innovation. (Author) (ED111791)

2.10

Hall, Gene E. and Loucks, Susan F. "A Developmental Model for Determining Whether the Treatment is Actually Implemented" AERJ, V.14, No. 3 (1977) pp. 263-276.

Describes the stages of levels of use of an innovation which has been discerned in studies connected with the authors' project (see Hall, above, for a general description), and provides evidence from initial field-testing activities, which verify the schema, at least up to the level of routine use. Additional data suggests, interestingly, that there is no simple linear relationship between the level of implementation and educational effectiveness, especially in reading programs. This paper is very suggestive in relation to the complexity of the adoption/adaptation process in any new setting.

2.11

Havelock, R. G. The Change Agent's Guide to Innovation in Education. Englewood Cliff, New Jersey.: Educational Technology Press, 1973.

The purpose of this study is to provide information on how successful innovation takes place and how change agents--educators who are working for reform at all levels -- can organize their work so that successful innovation will take place. Havelock argues that there are six stages to planned change: (1) building a relationship between the change agent and the client or the people the agent is trying to help, (2) diagnosis of the client's problem, (3) acquiring the resources needed for the innovation, (4) choose a workable solution to the problem, (5) gaining acceptance for the proposed innovation, and (6) insuring the continuance of a particular innovation once it has been adopted. He accompanies this argument with some case studies of change agents in action, some detailed examples of how each step is to be implemented, a section on supplementary resources, and with a general list of major information sources in education.

2.12

Hayes, Cheryl. "Toward a Conceptualization of the Function of Demonstrations." Washington, D.C.: Study Project on Social Research and Development, National Academy of Sciences. May. Retyped September 1978.

This is a crucial report for understanding the background and context of demonstration projects funded at the federal level. The report uses case studies of specific demonstration projects to point out the many ways in which project members have interpreted and performed their demonstration responsibilities. None of the cases reviewed in Hayes' report are in education. The Follow Through Program funded by the Office of Education, however, is

used in the introduction to emphasize the intent and pervasiveness of the notion of demonstration in federal policy. Among the contributions of this study are Hayes' definition of a federal demonstration project: "a demonstration project is a small-scale program in a field setting for a finite period of time to test the desirability of a course of action," and the category system developed from analysis of the cases are:

(1) demonstration for policy formulation, which seeks to determine the operational validity of a federally conceived program in a local setting;

(2) demonstration for policy implementation, which seeks to show how a previously determined institutional change can best be made; and

(3) other purposes of demonstration such as for consciousness-raising, limited service, or for encouraging locally initiated activity.

Cheryl Hayes is a policy analyst and one of her messages that should be heard by educators is the political context of demonstration; that is, its meaning to federal legislative committees who fund demonstration projects (to the tune of $500 million for 1975, Hayes reports). This has extensive implications for Teacher Corps policy and practice. (Further reviewed in Andrews, 1.1.2 - Section II).

2.12

House, Ernest R. The Politics of Educational Innovation, Berkeley, CA.: McCutchan, 1974.

This rich data-based theoretical study grows out of two major studies of the progress of innovation carried out by House and his associates: an evaluation of the Illinois Gifted Program, and a study of the spread of use of the PLATO system in Illinois community colleges. Significant insights are developed on many subjects, including the geography of innovation spread, the personal characteristics of administrators and project directors who successfully promote utilization, and problem of incentives for teachers and some alternatives for teacher control of incentives and information, the problem of innovations which require adults to develop complicated technical competencies outside of their fields. The book concludes with a critical analysis of prevelant federal policies and ideologies in terms of "institutional imperialism."

2.13

The NETWORK, Inc. Resources for Educational Program Improvement, Washington, D.C., DHEW/NIE, 1979.

This catalog describes 60 different resource packages developed in the six projects of the R & D Utilization Program sponsored by NIE.

Each RDU project works with several schools through linkage agents to develop local problem-definition capacity and provide access to proven "products" based on needs identified. The products developed include handbooks and other resources, in several categories: resources on program improvement processes, descriptions and other information about potentially adoptable products, programs, and practices, handbooks and other materials aimed at the linkage agents themselves, and description and analysis of the individual projects. Excellent information on the resources, most of which are available from program sponsors and will soon be accessible through ERIC.

2.14

Pincus, John. "Incentives for Innovation in the Public Schools." RER, V. 44, No. 1, 1974, pp. 113-144.

This paper suggests that the entire problem of innovation in public schools has been misconstrued due to the fact that the "political economy" of such monopolistic public service agencies is completely different from that of the competitive market economy that has created most examples of innovation in our society. Pincus concludes that the only way to create a powerful program of innovation in our public school systems is to anchor it in experimentation with significant restructuring of incentive structures, e.g. experiments in changing the monopolistic character of public education - vouchers, etc., significant decentralization of control, and changes in individual incentives offered to practitioners - merit pay, for instance, and more emphasis on institutional accountability.

2.15

Rist, Ray C. "On What We Know (Or Think We Do); Gatekeeping and the Social Control of Knowledge." Mimeograph, 1978.

Argues that while qualitative approaches are the most relevant to certain kinds of complex social questions, these approaches serve to protect institutions and groups from scrutiny. Examples include the perennial ability of powerful groups in the society to escape scrutiny, and the recent development of strong resistance to researchers on the part of various non-powerful communities, e.g., minority groups. Suggestions for meeting this resistance include collaborative research, reciprocity of value, and working for as opposed to with the community or group in question.

2.16

Short, Edmund C. "Knowledge Production and Utilization in Curriculum: A Special Case of the General Phenomena." RER 43, 1973, pp. 237-302.

How do the interrelated processes of knowledge production and utilization actually function? What specific difficulties occur in attempting to facilitate the meshing of all elements in the

entire process? These are the central problems underlying this review of the diffusion literature in curriculum.

2.17

Sieber, Sam D. Organizational Resistances to Innovative Roles in Educational Organizations. Columbia University, New York: New York Bureau of Applied Social Research, 1976.

Four main aspects of the public education system limit the application of diffusion research from other social systems (medicine, industry, and agriculture) to the field of education--(1) because of school system vulnerability, changes that run the risk of disturbing the local community are eschewed, innovations that are persuasively publicized are likely to be adopted without sufficient evaluation, and educational experimentation is limited, (2) because of quasi-professionalism, teachers are inclined to resist innovations, whether proposed by administrators, consultants, other teachers, or laymen, (3) because of goal-diffuseness, teachers tend to stress instrumental or learning-process goals while parents desire stress on substantive and terminal goals, and (4) because of formal control within the educational organization, deviant or innovative behavior by teacher members of the system is seriously limited. These four variables are conceptualized in a model that incorporates 28 interrelated structural sources of resistance to educational innovation. A new "status occupant" strategy, emphasizing the role of the teacher as innovator, is proposed for inducing educational change. By incorporating the positive features of three existing strategies (rational man, cooperator, and powerless participant), the new strategy seeks to overcome difficulties arising from the dominant local, national and ancillary organization properties of education. (JK) (ED015536)

3.0 FOURTH OUTCOME PROCESSES

3.1 Planning and Training

3.1.1

Becker, James M. and Han, Carole L. "Wingspread Workbook for Educational Change Agents." Boulder, Colorado: Social Science Education Consortium, Inc., 1975.

This workbook is addressed to those who need help in creating and implementing educational diffusion plans. It contains a structured series of questions, and suggestions on how to get information to answer them. They are designed to help the innovator diagnose the nature of the idea or product to be introduced, his/her own capabilities as a change agent, and potential areas for change in a school system. The potential areas for change could be the roles played by people, occasions for introducing changes, and kinds and channels of communications. The last part of the workbook suggests how all the information generated by the questions can be put together in a coherent action plan. An evaluation scheme and an extensive list of resources conclude the workbook. (Author/ND) (ED115577)

3.1.2

Cooke, Robert A. and Zaltman, Gerald. "Change Agents and Social System Change." Paper presented at American Educational Research Association Annual Meeting (57th, Chicago, Illinois April 3-7, 1972).

Change in social systems is often stimulated by individuals or groups of individuals who effectively link practice institutions, such as school systems, with knowledge producing organizations, i.e., universities. As basic research is developed and applied to practical problems, these individuals act to communicate this knowledge to those who may need it. In some cases, these change agents may also assist potential adopters in the installation of the new idea in their system. This paper investigates certain aspects of the relationship between these change agents and potential adopters. The paper focuses on educational change agents and practitioners in school systems, particularly as they interact to bring about improvements in the functioning and effectiveness of educational organizations. The discussion of the change agent-practitioner relationship

is prefaced by an overview of some educational concepts. (Author) (ED061641)

3.1.3

Fox, G. Thomas. "Practitioner Participation in Demonstration Projects" Madison, WI, University of Wisconsin, 1977 (Draft; available from the author)

Dr. Fox used the experimental form of dialogues between a variety of project participants and project managers to explore the problems and possibilities inherent in the concern to involve all kinds of project participants in the actual work of sharing results and methods with individuals and groups outside of the immediate context. The dialogues suggest issues that practitioners might raise about the concept and importance of promoting external utilization, about incentives for participation that might be effective, and about the contribution that regular project members can make to demonstration. The currently completed sections also include exercises which can be used in local projects after involvement with the dialogues.

3.1.4

Hood, Paul D., and Cates, Carolyn S. "Alternative Perspectives on Educational Dissemination and Linkage Activities" San Francisco, CA: Far West Laboratory for Educational Research and Development, 1978.

A seminal review of the literature on the roles and functions of educational linkage agents and agencies, this paper develops a significant framework of categories for understanding the range of activities which are subsumed under the linkage concept. The primary concern is to identify the issues which must be considered to build an experimental effort to train and utilize linkage agents; for this reason the paper concludes with implications for a training curriculum for persons whose career responsibilities include the full range of linkage activities identified.

3.1.5

Ogden, Evelyn Musumeci, Marilyn. A Taxonomy of Technical Assistance Skills. Rochelle Park, N.J.: Capla Associates, Inc., 1977.

To operationalize the Technical Assistance Brokerage system, the first major task called for the development of a taxonomy of training and technical assistance services specifying requisite skills and skill clusters by the dimensions of client type, stages of dissemination, and levels of experience. From a literature search approximately 400 linkage skills were extracted. In addition, certain commonalities were evident, related to skill clusters, personal attributes, and cognitive

understandings. A second strategy used to identify skills pertinent to the primary target audience was to conduct telephone interviews with a select group of 14 state facilitators and developer/demonstrators. From the interviews, approximately 200 skills were obtained. As a result of a synthesis of literature and interview findings, similar skills or duplicated skills were eliminated yielding a final listing of all skills. These skill clusters and specific skills were partitioned according to client type, stage of dissemination, and level of experience. The resultant taxonomy is displayed graphically. (Author/MLF) (ED161116)

3.2 Identifying and Understanding Audiences

3.2.1

Adams, Issac, Jr. A Survey of the Capacity of Selected Urban School Districts to Utilize and Disseminate Innovations in Educational Technology. San Francisco, California: Far West Lab. for Educational Research and Development, 1978.

This report presents the results of an informal survey which focused upon the manner in which urban school systems are organized to perform the functions of utilization and dissemination of educational innovations. The systems of each of twenty-eight urban districts surveyed are briefly described. Results presented indicate that (1) all respondents identified the existence of informal mechanisms to keep up with new ideas in education; (2) respondents in approximately three out of four large urban districts were able to identify some type of formal process or arrangement; and (3) the structure and character of these arrangements varied significantly from district to district. Specific organizational structures and activities which support this process are detailed in attachments to this report. These include New York City's centralized structure, San Diego's teacher-based approach, and Cleveland's concerted efforts to achieve diffusion through its school-based reform project. (Author/EB) (ED164719)

3.2.2

Brandy, George A. "Strategies for Change in Rural Communities." Paper presented at National Working Conference on Solving Educational Problems in Sparsely Populated Areas. (Denver, Colorado, March 17-19, 1969).

It is pointed out that change in rural education has been slow to occur but that attention to change strategies can hasten the process of change. Discussion includes a perusal of the literature, slow rate of diffusion in education, innovation from within or without, relating research to practice, typology of linking roles, change strategies, the change agent, the

dissemination of information. It is suggested that strategy for changing rural education should rely heavily on logic, reason, persuasion, showing, helping, involving, appeal to values and training, to the relative exclusion of telling, force, compulsion, intervention, and deprivation. It is indicated that sophisticated strategies for improving rural education will require the training and deployment of change specialists. It is concluded that some strategies will be required to change the thinking of rural legislators. (ED029726)

3.2.3

Dill, David D. and Friedman, Charles P. "An Analysis on Frameworks for Research on Change and Innovation in Higher Education." Review of Educational Research, 49, #3 (1979) pp. 411-435.

Innovation and change in higher education are examined, focusing on the organizational level. Four distinct frameworks for studying change in higher education as conceived by Gamson are: complex organization, conflict, diffusion, and planned change. Definitions and the theoretical backgroud underlying each framework are presented, and representative studies applying each framework to change and innovation in higher education are described. Each of the frameworks are represented by a causal flowgraph and causal models to specify generic variables characteristic of each framework and the nature of the relationships between these variables. (SW) (ED163825)

3.2.4

Fleming, Margaret. "Reality Based Urban School Innovation." Paper presented at the American Educational Research Association Annual Meeting (Toronto, Canada, March 1978).

In this overview of the Planning Educational Environments for Cleveland Children Project a comparison of selected change principles is made. These principles were taken from the change literature and were incorporated into the project design. The key features identified in the literature include: (1) the unit of change, (2) staff participation in planning, (3) goal clarity, communication and consensus, (4) change agents, (5) consultant, (6) staff retraining and reward, (7) resources necessary for successful change, (8) resistance to change, and (9) support of the bureaucracy. The paper also discusses the implications of productive and couterproductive elements generated by this project for renewal and reform in urban school districts. For example, it is clear that organized, planned programs of change must be implemented. It is also clear that at least six critical prerequisites need to be considered to support such reform efforts. These include provisions for financial bases, role clarification, bureaucratic support, knowledge bases, staff retraining efforts, and planning a

development and evaluation model. In this study, momentum for change appeared to be significantly linked to these pre-requisites. (Author/AM) (ED152928)

3.2.5

Goodlad, John I. The Dynamics of Educational Change: Toward Responsive Schools (I/D/E/A Reports on Schooling), New York, N.Y.: McGraw-Hill, 1975.

This report summarizes, from the Project Director's perspective, the antecedents, planning, implementation, and results of a large-scale school improvement experiment entitled the League of Cooperating Schools. Nineteen schools in Southern California were selected for involvement in the program, with a comparable group of schools used as a control group. The experimental effort had three foci: facilitation of intra-school discussion and planning emphasizing teacher involvement and new forms of leadership for principals; development of inter-school communications processes among all schools in the League; and access, through the on-site coordinator, to the resources of a central RDD unit. This book, and other monographs from this process, provide rich bodies of information on educational change, and, particularly, on the internal factors in school organizational processes which tend to lead to the capacity to appropriate ideas from outside the school.

3.2.6

Guba, Egon G., and Clark, David L. "The Configurational Perspective: A New View of Educational Knowledge Production and Utilization." Educational Researcher, April 1975, pp. 6-9).

A strong argument against the "unified systems" view of the agencies of KPU and their interrelationships, this paper argues, instead, for a "configurational" view, one which responds to the strengths and limitations of the current KPU "community". This perspective allows researchers to understand that the agencies involved are not primarily devoted to KPU, but have a variety of linkages that can be developed for that purpose; that the variety of interests and concerns within and among the multiple types of agencies must be respected and worked with; that there will be no "final" rational system developed from this situation; that, nevertheless, the capacity of this community to provide KPU services can be enhanced. This paper is even more interesting by the realization that the authors are criticizing what were essentially their own views in the 60's.

3.2.7

Hall, Gene E. Phases in the Adoption of Educational Innovations in Teacher Training Institutions. Texas University, Austin:

Research and Development Center for Teacher Education, 1974.

An attempt has been made to categorize phenomena observed as 20 teacher training institutions have adopted innovations and to extrapolate from these findings key concepts and principles that could form the basis for developing empirically testable hypotheses and could be of some immediate utility to those involved in innovation adoption. The concept of a user system oscillating between times of equilibrium and disequilibrium (which takes place during change) was a beginning point. It was then suggested that there are identifiable phases within the disequilibrium period. These phases are injection, examination, preparation, sampling, spread, and institutionalization. The last section of the paper presents a description of possible adoption strategies that can be employed and a list of some principles to follow in planning for and managing innovation adoption in teacher training institutions. (Author/IRT) (ED130390)

3.2.8

Holley, Freda M. and Ann M. Lee. "Beyond Dissemination: Helping School Board Members and Administrators take Action on Evaluation Findings." Paper presented at the American Educational Research Association Annual Meeting, Toronto, Canada, 1978.

This article is one of the few that we know of that speaks directly to the task of impacting local administrators and decision makers from the base of evaluation findings of local funded projects. It is written from the perspective of persons in a central office who are trying to increase this impact, but it can apply equally well to any one who sees policy implications in their project experiences which can be acted upon locally. Formats are included for understanding and manipulating "decision priorities" and developing effective recommendations.

3.2.9

Lotto, Linda S., and Clark, David L. An Assessment of Current and Potential Capacity of Schools of Education with Recommendations for Federal Support Strategies, San Francisco, Far West Laboratory for Educational Research and Development, 1978.

This monograph reports on a reanalysis of data collected in Clark and Guba's Research on Institutions of Teacher Education (RITE) study, with an emphasis on involvement of these institutions in educational dissemination and utilization. Assuming a generally bleak picture for dissemination and utilization activities, the authors attempt to assess how the institutions will respond to a variety of federal intervention strategies

which have been proposed, namely training grants, capacity building grants, networking grants, and dissemination system grants. For the purposes of Teacher Corps, both the initial findings (Chapter 1) and the methodology (Chapter 2) could be useful in the development of means for identifying Teacher Educational institutions which have the capacity to utilize models for field-based involvement derived from current Teacher Corps projects.

3.2.10

Manning, Brad A. The "Trouble Shooting" Checklist: A Guide for the Educational Change Agent. Texas University, Austin: Research and Development Center for Teacher Education, 1974.

The Trouble-Shooting Checklist (TSC) is an empirically-developed, descriptive instrument which is based on the responses of six educational change agents. It enables an agent to predict a given institution's success, in adopting innovations by ordering its levels of concerns and innovation usage. It focuses on two types of innovation: module-adoption and psychological assessment battery combined with a personal counseling orientation. The TSC presents a set of eight information areas within these two courses of events and identifies for each the ideal situation for successful adoption and installation of R&D products, the marginally acceptable and the unacceptable situation. (Author/SM) (ED103430)

3.2.11

Matula, Franklin V. Factors Contributing to the Willingness of Elementary Teachers to Try Selected Classroom Innovations. 1972. No Publisher.

Elementary teachers are often unwilling to implement new innovations in their school programs. This research study attempts to explore, through the use of simulation, why this reluctance occurs and to identify relationships of specific variables of teachers' expressed willingness to adopt innovations. Four samples of elementary classrooms teachers, totaling 165 drawn from schools in Texas, responded to an instrument which included information and posed questions indicating teacher interest and willingness to use innovations. Three social studies innovations of progressive complexity were described to these teachers, asking them to assume the real life situation of deciding whether to adopt innovative programs. Two strategies employed in the data collection sessions were the "intervention mode", in which group discussion was encouraged, and the "non-intervention mode", with each teacher working alone. Results indicated that the three innovations were not perceived alike; rather, the majority of teachers were less willing to use programs considered to be more involved and demanding. Interest peer support, and the characteristics

of the innovations are also important to teachers in considering adoptions of new programs. This study reflects and supports a growing body of research and theory supporting planning for change to insure success. (Author/SJM) (ED066404)

3.2.12

National Seminar on the Diffusion of New Instructional Materials and Practices. 4.0 Characteristics of the School: What are the Characteristics of Schools that Discourage or Encourage the Introduction and Use of New Ideas? Boulder, Colorado: Social Science Education Consortium, Inc., 1973.

Characteristics of schools that discourage or encourage the introduction and use of new ideas are discussed in this working paper of the National Seminar on the Diffusion of New Instructional Materials and Practices. Conference participants consider these questions: Does the school need to have a sound history of use of innovation before it is possible to get it to use new products? Does the school need general community support in order to implement innovative products? What degree of flexibility does a school need in order to readily adopt or adapt new products and ideas? How is flexibility defined? How does the level of academic training of teachers, supervisors, and administrators affect the adoption rate of innovation within a particular school? How does the median age or median level of experience of the faculty of a school or persons residing in the community affect the level of adoption or innovation? Is the level of innovation-adoption of new materials or ideas influenced by the tax level of the community? Is there any correlation between the level of support that a school receives from federal and state sources and the rate of adoption of innovative materials and ideas? (SHM) (ED083115)

3.2.13

Paul, Douglas. "The Diffusion of an Innovation through Inter-Organizational Linkages." Educational Administration Quarterly, 12, 2, 18-37, Spring 1976).

A comparative case study explores the interorganizational relationships among a research and development center, state education agencies, teacher education institutions, and local educational agencies involved with diffusing a complex organizational and administrative innovation--the multiunit school. (Author) (EJ141208)

3.2.14

Research for Better Schools. Training in Leadership in Local Educational Programs: Unit 10. Diffusing Educational Improvement Programs within a school system. Philadelphia, PA.

One of 10 units in a program developed at the Learning Research and Development Center at the University of Pittsburgh and carried forward at Research for Better Schools in Philadelphia. This book is concerned with the critical program of achieving district wide adoption of significant improvement programs. It sets forth 10 basic objectives of diffusing educational improvement programs among which are (1) define diffusion and indicate patterns in which change can spread, (2) differentiate between system-wide and single school changes, (3) justify change across grade levels.

3.2.15

Rutherford, F. James. "Preparing Teachers for Curriculum Reform." Science Education, 55, 4, 555-568, Oct/Dec 71.

Describes a set of presuppositions concerning teacher education associated with curriculum reform, including the role of planning, school involvement, universities, educational technology, and educational research. Strategies of leadership and diffusion of responsibility are also discussed. (AL) (EJ048596)

3.2.16

Temkin, Sanford. et al. "Linkage Models for Dissemination and Diffusion." Paper presented at the Annual Meeting of the American Educational Research Association (59th, Chicago, Illinois, April 15-19, 1975).

The objective of this paper is to sketch some emerging patterns of relationships growing out of the mutual desire of state departments of education, school districts, and research and development agencies to bring improvement and innovation to the schools. Two unpublished reports were used in preparing the paper. The first describes Research for Better School's relationships with nine different state agencies during 1971-3 and documents what states had done in the way of bringing research and development innovations to the schools. The second report summarizes the results of a questionnaire mailed to 116 state education administrators from 36 states during the latter part of 1973. In order to provide a base on which these emerging patterns can be examined, four types of findings have been selected: (1) some general characteristics of state departments of education, (2) some specific directions that states seem to be taking, (3) some ways in which states directly support innovation in schools, and (4) some state agency experiences with research and development agencies. Three patterns of interagency relationships are presented in order to describe linkage models that have been built to provide possible features of future relationships. (Author/IRT) (ED128878)

3.3 Outreach in Action: Strategies and Tactics

3.3.1

Anderson, Robert H. "Is Diffusion the Impossible Dream?" Lubbock, Texas: Texas Tech University. Paper presented at the Annual Meeting of the American Educational Research Association (Toronto, Ontario, Canada, March 1978).

A case analysis of an effort to promote the adoption/adaptation of processes and products developed in two urban public schools in eleven other schools, this paper reveals important conclusions about requirements for outside support, the relatively weak contribution of outside experts, and the nature of the contributions of district and local personnel which led to the ultimate adaptation of the process elements of the innovation in several additional schools.

3.3.2

Cafferella, Edward P., et. al. " A Methodology for Predicting the Diffusability of Educational Innovations." Paper presented at the Annual Convention of the Association for Educational Communications and Technology, (New Orleans, LA, 1979).

This paper reports on a study to validate the characteristics proposed by Everett Rogers and others as attributes of innovations which affect their rate of adoption, i.e. "relative advantage", "compatibility", "complexity", "trialability", and "observability". From general characteristics described, the research group developed a "diffusability index" scale for reviewing project documents. Scores on this analysis were compared with reports from project directors one year later which were intended to measure the "amount of dissemination" in terms of published articles, presentations, visitations, inquiries, and actual adoptions. Significant correlations were found between the index and the number of inquiries, number of ERIC submissions, and actual number of adoptions, though only those projects reporting adoptions were included in the latter analysis, which was less than 20% of the total return rate.

3.3.3

Crawford, Jack J., et. al. "Evaluation of the Impact of Educational Research and Development Products. Final Report." Palo Alto, California: American Institutes for Research in the Behavioral Sciences, March 1972.

The overall goal of this exploratory project was to initially uncover factors of variables likely to be involved in the impact of educational products. The specific objectives were to construct systematic case studies of the development of selected educational products as an initial basis for arriving at more precise procedures to assess potential impact; to

provide empirical case study data relevant to current hypotheses about innovation and change in public school education; and to prepare a listing of educational products judged, according to specific criteria, as having substantial positive impact. The study included the following activities: (1) the development of initial selection criteria for educational products with impact; (2) the identification and description of products meeting the initial selection criteria; (3) the identification of 21 of those products for intensive review; (4) systematic case studies of the 21 products tracing the history of each from its origin to its diffusion and adoption; (5) the extraction of generalizations about the products based upon product characteristics, development, evaluation, diffusion, adoption requirement, etc. with the generalizations then related to existing hypotheses regarding the processes of innovation and change in education; (6) an identification of ways whereby information on the impact, or potential impact of educational products may be obtained. A 32-item biblography and appendices are included. (Author) (ED063281)

3.3.4

Eidell, Terry L. "Constraints of Information Systems: Conceptual and Technical Problems." Charleston, West Virginia: Appalachia Educational Laboratory, Inc., (AERA Presentation, 1977)

An analysis of the relative strengths and weaknesses of computer-based information systems is juxtaposed with a review of the information-utilization requirements of educational administrators, to generate identifiable constraints to the effective use of such systems to improve actual practice in administration. An example of the specification of contraints is "All aspects of maintaining relevance in information systems are adversely affected by the level of language specialization associated with the educational administration knowledge base" (p. 13-14). In a provocative concluding section, the author also comes to grip with some of the "imponderables" which stem from the hypothesis that the kind of technical knowledge most readily transmittable in systematic information bases may have little to do with the value-oriented, experience-based "wisdom" of the best educational administrators. (ED145807)

3.3.5

Glaser, Edward M., et. al. Putting Knowledge to Use. Los Angeles: Human Interaction Research Institute, 1976.

This study summarizes 267 publications from a variety of fields bearing on knowledge transfer and change, and addresses the general problem of how to bring what we already know to bear on current problems. The summaries are preceded by an essay which discusses the lag-time that typically characterizes

discoveries of various sorts and their widespread adoption; overviews the many variables that determine the effective use of knowledge for improvement; and outlines the stages in the process of knowledge utilization. This essay also treats of the link between research and practice, and of the various models of research utilization. Indispensible for a review of the recent history of "knowledge utilization" research.

3.3.6

Hull, William L. and Kester, Ralph J. "Innovation Characteristics Critical to the Successful Adoption of Programs in School Settings." Paper presented at American Educational Research Association Annual Meeting (59th, Chicago, Illinois, April 1974).

Program evaluators and program managers should examine appropriate dimensions of innovations when deciding to support, accept, or reject an educational innovation. Survey questionnaires were used with 76 teachers and administrators and 65 state supervisors and local project directors of exemplary programs to obtain a list of 38 "essential" characteristics of innovations. An additional 300 educational practitioners responded to a 50-item questionnaire which included the 38 items and Likert-type response categories. These responses were factor-analyzed to identify six dimensions of innovation characteristics: student concern orientation, additional resource requirements, organized resistence potential, consumer report, credibility, and operational implementation. A bibliography is provided. (Author) (ED090659)

3.3.7

Lazarus, Stuart and Gillespie, Judith. "Political Climates and the Diffusion of Innovative Instructional Materials." Paper presented at Annual Meeting of the National Council for the Social Studies (Cincinnati, Ohio, November 23-26, 1977).

The process by which the high school political science curriculum project "Comparing Political Experiences" (CPE) was diffused highlights the political climate created by communications among curriculum developers, diffusers, and potential practitioners. The political climate surrounding attitudes toward new instructional materials is composed of recognition of the program, ability to differentiate it from other programs or materials, acceptance, and adoption. Major questions which arise include: Which communication links are most utilized? How is information passed form developer to practitioner? How can a strategy be implemented once it has been identified? What feedback is available? The diffusion strategy for CPE consisted mainly of six regional diffusion conferences which relied heavily on local and regional social studies education networks to acquaint key decision-makers with information about the program. Other diffusion methods involved explanatory

articles about CPE in professional journals and field testing in 26 pilot schools throughout the United States. Evaluation of the regional conferences indicates that they succeeded in familiarizing participants and opinion leaders with CPE, promoting discussion about CPE, and helping curriculum decision-makers plan for implementation of CPE. Recommendations for future diffusion strategies include provision for feedback from conferences participants. (Author/DB) (ED056549)

3.3.8

Lippitt, Ronald O. and Fox, Robert S. Identifying, Documenting, Evaluating, and Sharing Innovative Classroom Practices. Ann Arbor, MI: Center for Research on Utilization of Scientific Knowledge. 1973.

A survey of teaching practices and a face-to-face sharing institute were designed for an experiment to identify innovative practices. To legitimize the sharing of them, and to develop criteria for evaluating the relevance and importance of particular inventions. This experiment was part of a project involving a state organization of teachers and teams of teachers in local school systems in which the former provided an organizing link and the latter acted as researchers and disseminators. A questionnaire discovered new educational practices which were evaluated by a rating scale especially developed for the project. Documentary descriptions of each nominated practice were placed in a catalogue and distributed to participating schools. The teachers' response to the catalogue was measured by a postcard questionnaire. A forcefield analysis of the factors supporting and hindering active innovation resulted in a sharing institute focused on the resistance to diffusion. The objectives, design, operation plans, and program outline of the institute are followed by staff observations. Three nominated teaching practices, the rating scale, a documentary description from the catalogue, and the forcefield analysis are reproduced. (Author/KSM) (ED083064)

3.3.9

Meehan, Merrill L. "An Innovative Competency-Based Vocational Education Model Diffuses Itself." Journal of Industrial Teacher Education, 13, 2, 34-44, Winter 1976.

Process and product evidence presented in the paper indicate that the competency-based, mastery learning inservice workshop can be an effective diffusion strategy for an educational innovation. The innovation under study was a competency-based mastery learning, individualized instruction project; the diffusion methods used where the same as the content. (Author/AJ) (EJ135685)

3.3.10

Miles, Matthew B. "On 'Networking'." New York, New York: Center for Policy Research, 1978 (Paper commissioned by NIE).

A powerful summary analysis of the conceptual and practical dimensions of formal and informal networking activities as vehicles for the promotion of educational change and knowledge utilization. More concerned with the phenomena of "networking" than its ultimate effectiveness, the paper nevertheless suggests the critical dimensions to which attention must be paid in the utilization of such strategies in educational change, namely incentives, recruitment methods, resource mobilization, linkage, communication, technical assistance methods, and evaluation.

3.3.11

Regan, Ellen M. and Leithwood, Kenneth A. "Effecting Curriculum Change: Experiences with the Conceptual Skills Project." Research In Education Series/4. Toronto: Ontario Inst. for Studies in Education, 1974.

This book describes and analyzes a plan that effected the relatively successful implementation of a packaged curriculum program in a large number of school classrooms. The Conceptual Skills Program (CSP) was oriented toward detailed prespecified objectives that allow assessment before instruction of relevant student compentencies, structured learning experiences for achievement of the objectives, and assessment of the intended outcomes. The purpose of the program was to develop skills in the use of simple concepts. The four conceptual obstacles to successful implementation--focus on the product, focus on structure, illogical diffusion models, and oversimplified change strategies--are outlined and the succeeding chapters suggest some practical solutions to the problems in the context of the CSP implementation procedures. The areas discussed include teacher training, implementation, attitudes, and parent attitudes. (Author/IRT) (ED136440)

3.3.12

Rosenau, Fred S. and McIntyre, Diane H. Packaging Your Educational Program. San Francisco, CA: Far West Laboratory for Educational Research and Development, 1977.

This handbook for disseminators focuses on staff processes for preparing materials for systematic diffusion. Shows how the packaging effort must respect the stages of diffusion activity, the nature of the target audience, and the relative complexity of the innovation.

3.3.13

Wolf, W. C., Jr. "Utilizing Effective Diffusion Strategies." Paper presented at American Educational Research Association Annual Meeting (Washington, D. C., March, 1975).

Developers of educational innovations often devote too little time and effort to planning an effective strategy for diffusing their innovation among practicing educators. Particularly important is the task of selecting an appropriate target group for initial introduction of the innovation. A variety of specific diffusion methods may be effective, depending on the nature of the target audience and the specific goal of the diffusion effort. Once a clearly defined goal has been selected and a desired target group for the diffusion effort has been specified, it is possible to methodically and objectively evaluate diffusion methods to identify the most effective strategy. If educational innovators proceed in this manner, their diffusion efforts are likely to yield much more positive results than is currently the case. (Author/JG) (ED102671)

CONTRIBUTORS

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AUTHOR INDEX

(Annotated Bibliography)

Acheson, Keith A. 1.1.1

Adams, Issac, Jr. 3.2.1

Andrews, Stephen T. 1.1.2, 1.1.3, 1.1.4, 3.3.1

Bailey, Stephen K. 2.1

Bandy, George A. 3.2.2

Becker, James 3.1.1

Borman, Paul 2.2

Carlson, Richard 2.3

Clark, David L. 3.2.6, 3.2.9

Cooke, Robert 3.1.2

Crawford, Jack J. 3.3.3

Coulson, John M. 2.4

Dill, David 3.2.3

Dissemination Analysis Group 1.2.1

Eckenrod, James S. 1.1.5

Eidell, Terry L. 3.3.4

Emrick, John 2.5, 2.6

Fleming, Margaret 3.2.4

Fox, G. Thomas 1.116, 1.1.7, 3.1.3

Fox, Ronald 3.3.8

Friedman, Charles P. 3.2.3

Fullan, Michael 2.7

Gillespie, Judith 3.3.7

Glaser, Edward 2.8, 3.3.5

Hall, Gene E. 2.9, 2.10, 3.2.7

Holley, Freda 3.2.8

Goodlad, John I. 3.2.5

Guba, Egon 3.2.6

Hahn, Carole L. 3.1.1

Havelock, R. G. 2.11

Hayes, Cheryl 2.12

Hering, Suzanne 1.1.5

Hood, Paul D. 3.1.4

Hull, William L. 3.3.6

Kester, Ralph J. 3.3.6

Lazarus, Stuart 3.3.7

Lee, Ann M. 3.2.8

Leithwood, Kenneth 3.3.11

Meehan, Merrill L. 3.3.9

Lotto, Linda S. 3.2.9

Loucks, Susan F. 2.10

Manning, Brad A. 3.3.10

Matula, Franklin V. 3.2.11

Meehan, Merrill L. 3.3.9

Miles, Matthew B. 3.3.10

Morris, Lee 1.1.8, 1.1.9

Musumeci, Marilyn 3,1.5

National Institute of Education 1.12

National Seminar on the Diffusion of
New Instructional Materials and Practices 3.2.12

The Network, Inc. 2.13

Ogden, Evelyn 3.1.5

Paul, Douglas 3.2.13

Peterson, Susan M. 2.6

Rist, Ray C. 2.15

Regan, Ellen 3.3.11

Research for Better Schools 3.2.14

Short, Edmund C. 2.16

Rosenau, Fred S. 3.3.12

Rutherford, F. James 3.2.15

Sieber, Sam D. 2.17

Teacher Corps Demonstration Consortium 1.1.10, 1.1.11

Temkin, Sanford 3.2.16

Wolf, W. C., Jr. 3.3.13

Zaltman, Gerald 3.1.2